

Federal Parent Locator Service

Federal Case Registry

Interface Guidance Document

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2. SYSTEM INTEGRATION STRATEGIES

This section describes how the FCR works with State Case Registries to process Child Support business functions.

2.1 System Integration Overview

The FCR serves as a national repository for case and person data critical for effective child support enforcement. The FCR retains information provided and updated by SCRs, and that has passed the acceptance edits. It shares this information, on a proactive basis, with other interested States and provides this information when requested by an SCR.

The SCR is required to be an integral part of the statewide automated child support system. The system must contain information about all IV-D cases and participants and information about Non IV-D participants and orders that have been established or modified on or after October 1, 1998. Information on Non IV-D orders may be tracked by the linking of local registries. The SCR must be able to communicate with the FCR on a regular basis through SSA's closed network via CONNECT:Direct protocols to add, change or delete information on its own cases and persons, or to request information on individual cases or persons. Part 3, "Data Transmission Method", provides an explanation of the use of CONNECT:Direct for the SCR-to-FCR interface.

The volume of data exchanged between the FCR and SCR is considerable. There are requirements, at both the Federal and State levels, for initiating and receiving data and for conducting data comparisons. When the SCR receives information from the FCR, the State should evaluate the FCR information, preferably electronically, for initiation of the next case activity. This last activity is a key goal of the FCR and SCRs.

Chart 2-1, which follows, describes the responsibilities of both the FCR and SCRs in the exchange of information. The chart also describes the transactions that determine or initiate processing of the next case action, which is a key goal of the FCR.

CHART 2-1: RESPONSIBILITIES OF THE FCR AND THE SCRS

System	Responsibilities Related to SCR-to-FCR Transmissions	Responsibilities Related to FCR-to-SCR Transmissions
State Case Registry	<ul style="list-style-type: none"> • Send all mandated case/participant information to the FCR • Send all updated information or delete requests to the FCR • Send all FPLS Locate Requests through the FCR 	<ul style="list-style-type: none"> • Maintain the date and type of information submitted to FCR on the SCR/CSE automated system • Document successful registration of key information • Identify and assess rejected transmissions and document as rejected • Correct data errors and retransmit if needed (some errors do not require retransmission) • Evaluate the data in relation to child support enforcement activities for each specific case • Initiate next case action process through: <ul style="list-style-type: none"> – Intrastate action; – Interstate action through Long Arm activities; – Direct income withholding; – Interstate communications through OCSE Network/CSENet; – UIFSA interstate action; or – Other procedures required by State law or policy.
Federal Case Registry	<ul style="list-style-type: none"> • Conduct SSN identification, verification or correction processes • Maintain information provided by the SCRs • Add, update or delete data received from the SCRs • Pass external Locate Requests to the FPLS • Pass NDNH Locate Requests to the NDNH • Send IRS-1099 Locate Requests • Conduct Proactive Matches 	<ul style="list-style-type: none"> • Return an Acknowledgement, warning or error for all information transmitted by the SCR, including SSN verification status for each submitted person • Send Proactive Match information back to SCR for new or updated cases • Return information to SCR based on the receipt of an FCR Query • Return Locate Responses from external Locate sources • Return responses from IRS-1099

States must address several considerations in order to ensure that the SCR is able to meet its responsibilities in communicating with the FCR and in utilizing the data provided by the FCR. Part 3, “Data Transmission Method”, and Part 6, “FCR Transaction-Specific Information”, provide information about each of the following considerations:

1. Ensuring the successful transfer of files between the SCR and the State’s CONNECT:Direct site.
2. Ensuring the successful transfer of files between the State CONNECT:Direct site and the FCR.
3. Programming the CSE system to receive, interpret, document and track data.
4. Programming the CSE system to initiate the next case action (such as worker alert and automated initiation of next action, including generation of CSENet transactions).
5. Understanding the procedural and business practices that surround the exchange of data with the FCR so the CSE system meets program and system certification requirements.

2.1.1 FCR AND STATEWIDE SYSTEM CERTIFICATION REQUIREMENTS

The *Automated Systems for Child Support Enforcement: A Guide for States*, is referred to in this section as “*the Guide*”. The *Guide* was developed by the Administration for Children and Families (ACF) in response to the need for formal guidance for statewide automated system design required under the Family Support Act (FSA) of 1988. The statewide certification requirements were revised in 1997 to reflect changes as a result of the passage of PRWORA. An updated version of the *Guide* that contains optional system’s functionality, including the Deficit Reduction Act provisions and links to OCSE grants and Best Practices in automation for selected functionality, is currently in publications clearance. Draft versions of this updated guide are available upon request (See section 2.1.2). The current version of the *Guide* can be accessed on OCSE’s website at: <http://www.acf.hhs.gov/programs/cse>.

At a high level, the PRWORA proposes revising the system requirements for certification to address:

1. Implementation of the FCR and SCRs’ exchange of data effective October 1, 1998.
2. Uniform Interstate Family Support Act (UIFSA) requirements for interstate case actions.
3. The use of the OCSE Network/CSENet as the vehicle for interstate communication.

The following information outlines the major changes that States must incorporate in their CSE system in order to receive certification from the OCSE, within the ACF.

2.1.1.1 FCR Impact on CSE Systems

Implementation of the FCR requires some changes to all CSE systems. These changes are necessary for effective data exchange and use of that data when received by the SCR. At this time, the major requirements are:

1. The CSE system must maintain minimal information on the CPs, NCPs, PFs and, effective October 1, 1999, children (CHs), including name, sex, DOB and SSN.

2. The CSE system must maintain an FV Indicator for persons maintained in their system.
3. The CSE system must accept updates to the mandatory data elements on the SCR.
4. The States must have an automated interface with the FCR.
5. States must automatically identify cases and orders for registration on the FCR.
6. States must automatically identify cases appropriate for locate services in the FPLS.
7. Submissions to the FCR must include the key data and any other information ACF prescribes in regulations.
8. States must become more cautious about the security of information on the system.

2.1.1.2 Interstate Case Processing

The *Guide* includes requirements that address the new fields that relate to the UIFSA portion of the regulations for interstate case processing. Refer to the *Guide* for a listing of the specific fields and CSE system requirements.

The *Guide* outlines the specific statewide automated system programming necessary to adequately support and document the UIFSA requirements of PRWORA. This legislation has broad implications for State child support enforcement programs. The certification *Guide* also notes the legislative basis for the latest revisions.

The *Guide* does not provide State technical staff with the level of detail that is necessary to program the statewide automated system. The current version of the *Guide* can be accessed on OCSE's website at: <http://www.acf.hhs.gov/programs/cse>. Comments or questions about the *Guide* requirements may be directed to the following address:

Department of Health and Human Services
Administration for Children and Families
Office of Child Support Enforcement
Director, Division of State and Tribal Systems
370 L'Enfant Promenade, SW
Washington, DC 20447

2.1.2 NON IV-D SYSTEM ISSUES

PRWORA requires States to maintain, as part of their SCR, information about Non IV-D orders that are established or modified on or after October 1, 1998. PRWORA also requires the SCR to send extracts of this information to the FCR. These requirements pose many challenges to the States. The *FCR Implementation Guide* discusses these issues and offers some guidance on overcoming these challenges. Some of the issues relative to Non IV-D orders are:

1. Collection of Non IV-D order data from several jurisdictions or courts,
2. Identifying SSNs for persons in Non IV-D orders,
3. Funding for changes to court systems,
4. Optional transmission to the FCR of historical Non IV-D orders (orders that were established or modified prior to October 1, 1998),
5. Update requirements for Non IV-D orders,

6. Processing of Non IV-D information received from the FCR,
7. Access to Non IV-D data at State and Federal levels, and
8. Linking of Local Registries of Non IV-D orders.

In addition to information found in the *FCR Implementation Guide*, OCSE has prepared several documents that contain information about PRWORA requirements for Non IV-D orders. These documents include:

1. Action Transmittals,
2. Questions and Answers, and
3. Conference materials distributed at OCSE Regional Conferences, Child Support Enforcement Systems: Bringing Us Together, in March 1998 (Washington, DC, Kansas City and San Francisco).

2.1.2.1 FCR Processing of Non IV-D Order Data

In certain circumstances, the FCR processes Non IV-D order data differently from the way it processes IV-D case data. The procedures for handling Non IV-D orders are addressed in several sections. Chart 2-2 lists the processes and identifies the sections where detailed information can be found.

CHART 2-2: NON IV-D PROCESS INFORMATION		
Process	Differences Between IV-D and Non IV-D Processing	IGD Sections
SSN Verification and Identification	RMR is not available for Non IV-D orders.	Section 5.3.1
Proactive Matching	For States that have added or updated persons in a IV-D case, the FCR returns: case and person information associated with both IV-D cases and Non IV-D orders that contain the person; case and person information relating to IV-D cases and Non IV-D orders that contain this person if the case or order of the person is updated; and NDNH information on persons when the person is added to or updated on the FCR and when the NDNH receives new information on the person. For persons who are added to a Non IV-D order, the FCR returns only an acknowledgment and SSN verification code. No NDNH information is sent for persons in Non IV-D orders.	Section 1.2.2.2 Section 1.2.2.3 Section 4.2.4 Section 6.10
FCR Query Transactions	FCR Queries using a Non IV-D Case ID return only Non IV-D information from the submitter's State. FCR Queries using a IV-D Case ID return all case and person information related to the person and their cases, including IV-D cases and Non IV-D orders. Action Type Code 'A' returns information from all cases on the FCR containing the person. Action Type Code 'F' returns only case and person information on this person from States other than the submitter.	Section 6.9
Participant Type	IV-D cases allow all Participant Types. Non IV-D orders do not allow Participant Type 'PF'.	Section 6.1 Section 6.2 Section 6.3 Section 6.4
Request for Locate Processing	Locate Request Type CS is not allowed for persons in Non IV-D orders. Locate Request Type CS is allowed only for CPs, NPs, or PFs in a IV-D case.	Section 6.7

2.2 FCR Interface General System Requirements

The SCR interface with the FCR requires special processing within the automated CSE system beyond that which is required to obtain FSA of 1988 certification for the automated statewide system.

1. The statewide system must adhere to the data submission requirements established for the FCR. The additional requirements not addressed by the FSA of 1988 include the need to maintain minimal information on Non IV-D orders and to collect additional data elements for IV-D cases.
2. The statewide system should include automated processing of the FCR response data. This processing is needed for the effective use, by the statewide system, of the FCR data when it is received. Sections 2.4, “State System and FCR Relationship”, and 2.5, “CSE System Processing of FCR Data”, provide details about the processing needed to support the SCR-to-FCR interface.

2.3 FCR Implementation

The implementation of the SCR-to-FCR interface presents a number of programmatic and technical challenges for the State IV-D agency. In order to comply with PRWORA and related regulations, the State must consider the State-level legislative changes needed. The IV-D agency programmatic changes needed to maximize the benefit of the FCR must also be considered. Information and recommendations associated with the implementation of the FCR from this perspective are included in Sections 2.5, “CSE System Processing of FCR Data”, and 2.6, “FCR Data Processing Alternatives”, and Part 6, “FCR Transaction-Specific Information”. These sections provide detailed information regarding the technical requirements and recommendations for meeting these requirements for the statewide system.

2.4 State System and FCR Relationship

The advent of statewide automated systems provided numerous benefits to intrastate child support operations. Some of the benefits include:

1. Introduction of automated processing to offices using operations which were previously mostly paper-based.
2. Electronic linkage of the statewide automated system to other Locate sources both inside and outside the State.
3. Facilitation of case management by cross-referencing cases containing the same participants.
4. Provision of the most recent available information to authorized persons at any location in the State.
5. Facilitation of prompt case action either through system-generated activity or through worker action.

The FCR brings additional advancements to child support program activities by working in concert with the SCR. A goal of the FCR is to reflect the cases and data that are contained in the SCR and meet the criteria for registration. Sections 1.2, “Introduction to the FCR”, and 1.3, “FCR System Functionality”, present details associated with the FCR functionality and benefits to the States.

The electronic exchange of data from the SCR to the FCR must occur on a periodic basis, no less often than weekly. For every transmission of information from the SCR to the FCR, the FCR provides a response status. This response enables the State to track the addition or update of a case and participant as appropriate within their own State system. In addition, the SCR may receive FCR Proactive Matching data as often as daily. Section 4.2.4, “FCR Proactive Match Processing”, provides details on the information returned. Once the SCR receives the information, the State system should document the transmission, process the information and either take the next action automatically or bring it to a worker’s attention for next case processing action. The SCR must ensure the information in the FCR reflects the information in the SCR with respect to a case or participant. Where changes are made at the State level to key data, the State must communicate those changes to the FCR.

The FCR is a support system for the SCR. In IV-D cases, the FCR:

1. Maintains limited case and participant information originally provided by the State, which has the on-going responsibility for maintaining the accuracy of the data.
2. Serves as a system of pointers for interstate cases where other States have an interest in the same case or participants so States can communicate directly for more information.
3. Provides a powerful locate tool for FCR and NDNH information or FPLS access to external Locate sources.
4. Processes activity and responses rapidly, so the information is the most current and received in a timely manner.

To fully utilize the FCR, a State CSE system must process the data electronically within its SCR. This includes electronic determination and execution of next case processing action to the extent allowable by the statewide automated system. These actions allow the States to benefit from data that is exchanged with the FCR. Proper use of information provided by the FCR allows workers to focus on the more problematic cases, thereby promoting more effective case management.

2.4.1 PERSON AND CASE MANAGEMENT AND TRACKING

Managing SCR case and participant activity data, and exchanging this data with the FCR, provides unique challenges for the current statewide automated systems. Many State systems have not been programmed for high volume exchanges of data with another automated system, particularly when the other system retains a subset of the State’s own data. This limitation is further complicated by the requirement that States transmit similar data on Non IV-D orders to the FCR. For all cases and orders, interfacing with the FCR creates an on-going requirement to program the State systems to:

1. document the status of each case and participant transmitted to the FCR,
2. identify when the data has changed and must be updated on the FCR, and
3. initiate the transmission and follow-up on child support information.

For example, person identifiers in the FCR and State systems must be coordinated, case closures must occur in a timely fashion (e.g., when the Case Type changes), and the participation of persons in cases must be kept current.

The FCR will accept a request to delete a person from a case on the FCR or to delete a IV-D case or Non IV-D order only when the request is transmitted by the State that added the person, case or order to the FCR.

Regulations contained in §45 CFR 303.11 define the case closure criteria for IV-D cases. These regulations do not define the criteria for closing Non IV-D orders.

PRWORA specifically requires that all Non IV-D orders that are established or modified on or after October 1, 1998 be included in the SCR and transmitted to the FCR. States need to remember that the case becomes a Non IV-D order if:

1. a IV-D case closes,
2. there is an order, and
3. the order was established or modified on or after October 1, 1998.

A Non IV–D order is subject to the SCR PRWORA provisions and must remain in the SCR and on the FCR as a Non IV-D order until the order has expired under State law.

A State can choose to maintain their Non IV-D orders outside the statewide automated system and link to the SCR. These States must ensure that when a IV-D case closes and it meets criteria 1 through 3 above, the SCR for Non IV-D orders adds the closed IV-D case as an open Non IV-D order.

If a State’s SCR, within their statewide automated system, includes Non IV-D orders, it is preferable that the State make a case type change from IV-D to Non IV-D, rather than closing the IV-D case and opening a Non IV-D order. If a State uses a different numbering scheme for IV-D cases and Non IV-D orders, the FCR functionality will allow a change to the case number, as well as case type. Changing Case Type (and case number, if needed), rather than closing and opening, alleviates additional processing for both the State and the FCR. Refer to Part 6, “FCR Transaction-Specific Information”.

2.4.2 DATA SYNCHRONIZATION

Data synchronization refers to maintaining the same information in different databases managed by different organizations, specifically the case and person data in the FCR and SCR. Each State must maintain synchronization of their system’s data with their data on the FCR. Synchronization is maintained by submitting Case and Person Transactions to the FCR in a timely manner to reflect additions and changes in the SCR. Synchronization also requires that States flag records (and key data in those records) that have been submitted to, and

registered on, the FCR. For example, when a case is established in the SCR, the State must send case and participant information to the FCR. Another example is a situation where paternity is subsequently established, any PFs that are determined not to be the father of the child or children registered on a IV-D case on the SCR would need to be deleted from that case in the FCR. Alternatively, the PF may need to become an NCP. States must submit transactions to the FCR, when appropriate, to identify the NCP and to disassociate any PFs from the case. Otherwise, the FCR Case Record will not reflect the case's latest status and Proactive Matching information will continue to be sent to the SCR for PFs who are no longer associated with that case.

The following sections provide details on the submission of changed or deleted transactions:

- Section 6.3, "Change Case"
- Section 6.4, "Change Person Data"
- Section 6.5, "Delete Case"
- Section 6.6, "Delete Person From Case"

States should note that entire re-transmission of SCR case and/or person data to the FCR, instead of identifying those cases or persons with changes, will not facilitate SCR-to-FCR synchronization. The duplicate case identifiers would result in the FCR rejecting the replacement cases.

2.4.2.1 FCR Reconciliation File

The FCR can produce a Reconciliation File of all the case and person data stored on the FCR for a State. This process was developed to assist States that have not routinely interfaced with the FCR since their initial load, or that have experienced problems processing their Acknowledgement Files. The Reconciliation File is intended to provide States with the capability of verifying case and person information stored on the FCR. This process will also provide OCSE and States with a method to periodically verify that the FCR and the State system data are in sync. Refer to Appendix H, Charts H-15 through H-18, for a description of the FCR Reconciliation File output record layouts.

Before requesting a Reconciliation File, a State must have automated processing in place to maintain a normal and routine interface for submitting SCR-to-FCR Add, Change and Delete Transactions, and for receiving and processing FCR-to-SCR Acknowledgement Responses.

Section L.3, "FCR Reconciliation File", in Appendix L, "FCR Options for Data Received", contains instructions on how to obtain an FCR Reconciliation File.

OCSE will acknowledge the receipt of a request for the Reconciliation File and the file will be forwarded to the designated individual within two weeks of the receipt of the request.

Normally only one Reconciliation File should be sent to a State during a twelve-month period. If subsequent requests are made during the same period, they must be approved by the OCSE on a case-by-case basis, and they may require additional processing time.

Sometimes States use a two-step reconciliation process to establish a baseline and then make programming changes before requesting a second Reconciliation File for final comparison. Contact your FCR Technical Liaison for support when special reconciliation requests will be made.

2.5 CSE System Processing of FCR Data

The FCR accepts and processes all records transmitted by the SCRs. The FCR generates the return of large amounts of data to States on a routine, and often unsolicited, basis. This quantity of information may present States with unique programming dilemmas.

The SCRs receive responses from the FCR to individual case queries initiated by the State system. In addition, States must also process proactive information by:

1. sorting the proactive information,
2. documenting key transactions on the appropriate State system record, and
3. prioritizing the necessary follow-up actions, either by automated case action or by routing it for immediate worker attention.

Appendix K, “SCR/FCR Transactions and Responses”, displays the types of information returned from the FCR which requires follow-up action by the statewide automated system.

2.5.1 AUTOMATED PROCESSING OF FCR DATA

Statewide automated systems are currently operational in many States. These systems process large amounts of demographic and financial data to make determinations about case action processing, generate documents, and initiate actions based on the absence or presence of information in the system. At critical points built into the assessment process, some cases are brought to a worker’s attention when manual intervention is required to determine the next appropriate case action. Many routine case processing actions, such as initiation of Locate Requests, occur on many systems without manual intervention.

The introduction of additional volumes of data from the FCR normally requires some modification to State systems in order to use the data in a timely fashion. The statewide system must be programmed to automatically process as much of the FCR return data as possible.

Some advantages of adjusting statewide automated systems to work automatically with FCR data are:

1. A high volume of automated processing for routine child support activities will allow workers to focus on complex cases.
2. The follow-up actions with other States are processed automatically by the receipt of interstate data.
3. The receipt of automatic updates on existing cases will ensure most recent data is available for system or worker evaluation.

2.5.2 FCR RESPONSE DATA FILTERING

The proactive nature of the FCR will result in matches of person information submitted by each State against information submitted by other States, and to information on the NDNH. These matches will likely generate large volumes of data to be sent to the SCR. In order to assist States in determining options for processing this data, Section 2.5.2.1, “Types of Data Returned”, summarizes the types of data returned by the FCR. Section 2.5.2.2, “Filtering Options”, discusses the options available at the Federal and/or State level for filtering or suppressing the processing of certain non-critical data.

2.5.2.1 Types of Data Returned

The FCR will return the following types of information to the SCR:

1. **Input Transaction Acknowledgement/Error Records.** Acknowledgement Records are created for the FCR Input Case Record, the FCR Input Person/Locate Request Record and FCR Input Query Record. The Acknowledgement indicates that the record was accepted, rejected or is pending final processing. If the transaction is an FCR Query and if no match is found, the submitter receives an error code on the FCR Query Acknowledgment/Error Record. Where the record was rejected or accepted with minor errors, the Acknowledgement Record will include error or warning codes to indicate the edits or that the input transaction failed. The FCR Input Person/Locate Request Record also indicates the status of the SSN verification for the person.
2. **FCR Query Responses.** The FCR Query/Proactive Match Response Record is returned to the submitter when a match is made on the FCR for the person identified in the FCR Query.
3. **FCR-to-FCR Proactive Match Responses.** The FCR Query/Proactive Match Response Record is sent to a State when a person with a verified SSN without an FV Indicator in a IV-D case is added to, deleted, or changed on the FCR and if another State has registered the same person. Section 4.2.4, “FCR Proactive Match Processing”, presents the conditions that generate the FCR Query/Proactive Match Response Record.
4. **FCR-to-NDNH Proactive Match Responses.** The FCR NDNH Locate/Proactive Match Response Record is sent to a State when a person with a verified SSN without an FV Indicator in a IV-D case is added to the FCR. It is also sent to the State when new information is received on the NDNH for a Person (with a verified SSN without an FV Indicator) who is in a State’s IV-D case.
5. **NDNH Locate Responses.** The FCR NDNH Locate/Proactive Match Response Record is sent to States in response to a request for Locate to the NDNH.
6. **External Locate Responses.** FCR Locate Response Records are sent to States in response to submission of a request for Locate using an external Locate source other than IRS-1099. The request for Locate must indicate the sources to be searched. One or more Response Records are returned for each source requested.
7. **IRS-1099 Responses.** The FCR IRS-1099 Response Record is sent to States in response to requests for a match to the IRS-1099 File. Regulations require IRS-1099 information to be returned to States separately from all other FCR response information.

8. MSFIDM Responses. The FCR MSFIDM Response Record is returned to a State when the FCR receives a match from a Multistate Financial Institution on a person who is in the FCR with a verified SSN/Name combination, in a IV-D case, with no FV Indicator.
9. Insurance Match Results. The Insurance Match Response Records that are sent to States contain the results of matching Federal Offset System obligors to Insurance claimants.
10. DMDC Match Responses. FCR DMDC/Proactive Match Response Records are sent to a State when a person who was registered by the State was matched in the DMDC match process.
11. SVES Locate Responses. One or more of the following records are returned to a State that requests SSA Locates (Locate source 'E01'): FCR SVES Title II Locate Response Record, FCR SVES Title XVI Locate Response Record, FCR SVES Prisoner Locate Response Record, and FCR SVES Not Found Response Record.
12. SVES Proactive Matches. One or more of the following FCR SVES Title II, Title XVI and/or Prisoner Locate Response Records are returned to a State that has elected to receive SVES Proactive Matches, if the State adds or updates a person in a IV-D case without FV and the State does not simultaneously request a SVES Locate.
13. Title II Pending Claim Proactive Responses. The FCR returns FCR Title II Pending Claim Response Records for States that have elected to receive Title II Pending Claim proactive matches when SSA determines that the pending Title II claimant matches an FCR person in a IV-D case with no family violence indicated.

Detailed explanations of the formats that are used for the transactions listed previously can be found in Appendix H, "FCR Output Transaction Layouts".

2.5.2.2 Filtering Options

Each State has the option of suppressing (filtering out) from the FCR, input transaction Acknowledgement Records created in certain conditions. The FCR Output Control Matrix describes the information that can be suppressed by each submitter of processed FCR records. Each State may set the established parameters based on their requirements and needs for return information by completing the FCR Output Control Matrix Registration Form, which is Figure L-1 in Appendix L, "FCR Options for Data Received". This option gives the State the ability to restrict some of the data returned from the FCR system. Submission of the FCR Output Control Matrix Registration Form is optional. The default for the Matrix is that the FCR returns all records with associated error, warning or information codes.

A State that chooses to set the parameters of the FCR Output Control Matrix should complete the registration form and send it to OCSE according to the procedures described in Section L.1, "FCR Options for Data Received", in Appendix L. A State can change the parameters of the FCR Output Control Matrix by notifying OCSE at the same address.

2.5.2.2.1 FCR OUTPUT CONTROL MATRIX REGISTRATION

The system will generate Acknowledgements of input transactions for every record submitted. While processing FCR records, the system may detect errors or identify abnormal conditions that cause the return of the record to the submitter with error or warning messages. Each submitter may choose to suppress the receipt of the appropriate Acknowledgement Record

under certain conditions by completing the FCR Output Control Matrix Registration Form and sending it to OCSE. The FCR Output Control Matrix cannot, however, be used to suppress records that contain SSN correction or identification notices or transmission or submission level errors or warnings.

To suppress Acknowledgements for processed FCR records, complete and send the “FCR Output Control Matrix Registration Form”, which is Figure L-1 in Appendix L, “FCR Options for Data Received”.

The accepted Acknowledgement for an input transaction to add, change or delete a person in a case is not suppressed when the FCR Primary SSN was verified, there were no error or warning conditions detected, and a date of death is present on the FCR Death Master File. See Section 10.2, “FCR SSA Death Master File Processing”, for a description of the FCR Death Master File processing.

2.5.2.2.2 FCR OPTION TO RECEIVE DATA REGISTRATION

The FCR normally filters NDNH information sent as a result of NDNH-to-FCR or FCR-to-NDNH Proactive Matching by not sending to a State any records that the State submitted to the NDNH. The State may choose to remove this filtering, and receive through the Proactive Match process, all of the appropriate NDNH records, including those records that the State sent to the NDNH. States may opt to receive W-4 only, QW only, UI only, or any combination, or all of the W-4, QW and UI records that were submitted by their State. To exercise this option, the State should complete and send the “FCR Option to Receive Data Registration Form”, which is Figure L-2 in Appendix L, “FCR Options for Data Received”.

2.5.2.2.3 FILTER NEGATIVE LOCATE RESPONSES ELECTION FORM

In response to requests from States, the Filter Negative Locate Response option was added to reduce the number of negative Locate Responses being returned to States.

The filtering of negative Locate Responses will apply to Locate Request Type ‘CS’ (request for IV-D) only. All other Locate Request Types, ‘AD’ (Adoption/Foster Care), ‘CV’ (Custody and Visitation), ‘IN’ (International Locate), ‘LC’ (Locate Only), and ‘PK’ (Parental Kidnapping), will not be filtered. A State must select the filter option to suppress negative Locate Responses. This filtering option will not apply to FCR-to-SVES, NDNH-to-FCR and FCR-to-NDNH Proactive Matching.

If a State selects the filter option to suppress negative Locate Responses, the following Locate Responses with response code ‘10’ or ‘22’ will not be returned to the State:

1. FCR NDNH Locate/Proactive Match Response Record (Record Identifier ‘FN’) with a NDNH Match Type of ‘L’ (NDNH Locate Request Response), a Locate Source Response Agency Code of ‘H01’, and a Locate Response Code of ‘10’ (NDNH does not have the SSN on file, or the submitter of this CS-type Locate Request provided the only information on file for the SSN and has not requested its return).

2. FCR SVES Not Found Response Record (Record Identifier 'FK') with a Locate Source Response Agency Code of 'E10' and a Locate Response Code of '10' (The Locate source does not have the SSN on file).
3. FCR Locate Response Record (Record Identifier 'FF') with a Locate Response Code of '10' (The Locate source does not have the SSN on file) for Locate Source Response Agency Codes: A01 (DoD), A02 (FBI), A03 (NSA), C01 (IRS non-1099), E01 (SSA), and F01 (DVA).
4. FCR Locate Response Record (Record Identifier 'FF') with a Locate Response Code of '22' (Good SSN, no record of earning) for a Locate Source Response Agency Code of E01 (SSA).

The FCR will offer the submitter an additional option to receive the field Locate Closed Indicator (when equal to a 'C') on a negative Locate Response, when a State selects the filter option to suppress negative Locate Responses.

The Locate Response codes '06' (FCR case type change from IV-D to non IV-D, person deleted from case or case closed) and '39' (disclosure prohibited – person is associated with family violence) will still be returned to the submitter for all Locate sources. A State that wants to filter Negative Locate Responses must complete the "Filter Negative Locate Responses Election Form", which is shown in appendix L as figure L-7.

2.5.2.2.4 FILTER POSITIVE REDUNDANT PROACTIVE AND/OR LOCATE RESPONSES ELECTION FORM

The FCR is being modified to provide States with filter options to suppress positive redundant Locate Responses for:

- Locate Request Type 'CS' (Child Support Request for IV-D purposes),
- FCR-to-NDNH Proactive Matches, and
- FCR-to-SVES Proactive Matches on certain transaction's Action Types.

The NDNH-to-FCR Proactive Matches, and all other Locate Request types 'AD' (Adoption/Foster Care), 'CV' (Custody and Visitation), 'LC' (Locate Only) and 'PK' (Parental Kidnapping), will not be filtered.

The FCR filtering process will determine whether the response 'Key' information that is returned from a Locate source was already returned to the State within the State's specified timeframe. The FCR will store a State's 'Key' response information on a file to compare to the next response that is returned from a Locate source. If the response 'Key' information is determined to match a previous response that was already returned to the State (based on the criteria, which is explained in Section 6.7.1.1.5) the FCR will not return the current response if the State selected the filter option to suppress.

States that want to suppress positive redundant Locate Responses must complete a new option form in Appendix L-10 "Filter Positive Redundant Proactive/Locate Response Election Form", that specifies which responses to filter and also must specify the time period of one, three or five years to purge the State's Response Key Records on files. The FCR will also

provide an additional option to override the suppression if the positive response is the last response of a group, so that a Locate Closed Indicator can be returned.

2.6 FCR Data Processing Alternatives

OCSE makes available several new software modules to assist States with their SCR/FCR interface. These modules include several code skeletons that can perform the following functions:

1. Support on-going data exchanges with States by extracting data from the SCR and converting this information into FCR Transaction formats suitable for transmission by CONNECT:Direct.
2. Generate a hard copy of incoming response data received from the FCR (for States using manual processing).
3. Process incoming response data and update the SCR (for States that conduct automated processing).
4. Extract data from the SCR for initial load to the FCR.

These modules can assist States in accelerating the development process by standardizing and automating activities that are common to all States. Within each module, there may be areas that require customized logic that will be unique to each State. Because each State's situation is unique, States should carefully evaluate the applicability of these modules and associated level of customization required for their specific installation. For States that elect to develop unique software, embedded within their SCR, these modules could serve as a valuable design guide that indicates the specific functions required for the interface. States interested in receiving copies of the software modules described should refer to Appendix D, "Technical Assistance", for the contact name.

2.6.1 ALTERNATIVE PROCESSING OPTIONS

New cases, new participants and changes to key demographic data on participants require outbound transactions. Refer to Part 6, "FCR Transaction-Specific Information", for a complete list of actions that require a submission to the FCR. To minimize the impact on State systems, the recommended approach is to create a trigger record when one of these activities occurs. This trigger record should contain only database keys and transaction types. A nightly or weekly batch process should read these trigger records and generate the appropriate transaction records for transmission to the FCR. States should schedule this batch run to execute during non-peak processing windows to minimize the impact on State system's daily operations. The State CSE system should create the trigger records based on the activity occurring in the system. The layout of this trigger file should be as follows:

Transaction Type: This should be encoded to indicate the type of transaction to be created.

Example transaction types are:

- AC – Add Case
- CC – Change Case
- CN – Change Case Number
- DC – Delete Case
- AP – Add Participant
- CP – Change Participant
- DP – Delete Participant
- LP – Locate Person
- TL – Terminate Locate
- QP – Query Participant

Transaction Key: This should be the key used to populate the SCR. The piece of information with which it is populated depends on the transaction type. Examples of the keys for the transaction types are:

Trans Type	Action	Key to SCR
AC	Add Case	Case Number
CC	Change Case	Case Number
CN	Change Case Number	Old and New Case Number
DC	Delete Case	Case Number
AP	Add Participant	Case Number/Member ID
CP	Change Participant	Case Number/Member ID
DP	Delete Participant	Case Number/Member ID
LP	Locate Person	Member ID
TL	Terminate Locate	Member ID
QP	Query Participant	Member ID

As each Transaction Record is being created, a transaction event must be recorded for use in management information reports and to ensure synchronization between the SCR and the FCR. One possible method to accomplish this is to keep the audit file separate from the SCR. The layout of the audit file should be:

- Transaction Type:** See Transaction Type above.
- Transaction Key:** See Transaction Key above.
- Batch Number:** The Batch number from the Header Record of the Transmission File.
- Date Transmitted:** The date the record was transmitted to the FCR.
- Date of Response:** The date the FCR Response File was processed.
- FCR Response Code:** A code to indicate the disposition of the transaction from the FCR:
 - A – Accepted with no errors
 - R – Rejected
 - H – Held pending further processing by the FCR
 - W – Accepted with warning(s)

These codes will be discussed in more detail in the FCR-to-SCR Transactions.

This file should have a primary key and a secondary key as follows:

- Primary Key:** Transaction Type, Transaction Key and Batch Number
This key will be used for processing the Response File from the FCR. The key would be built from the program processing the returned file and would update the Response Code.
- Secondary Key:** Transaction Type and Transaction Key
This key must allow duplicate keys or have a sequence number appended to it to keep it unique, since a transaction may be rejected the first time and may need to be resubmitted. This capability would allow for a complete audit trail of the number of submissions. FCR output records provide States the ability to reorganize the type of information being returned and the reason the FCR sent the data.

2.6.2 PRIORITIZING FCR DATA PROCESSING

Data returned from the FCR contains valuable information. The value of the data cannot be realized unless it is processed properly by the SCR. This section explains how to manipulate the returned file and format it to get the maximum benefit from this data.

For all transactions returned to the States, the audit file should be updated to reflect the current disposition of the transaction. If the transaction was successfully processed by the FCR, the key must be built from the returned file and the response date and a Response Code must be set. If the transaction was rejected, the response date and Response Code must still be set. This transaction must be flagged to resend the corrected transaction to the FCR.

States that decide to add indicators or segments to their SCR should set these indicators to indicate that they must be resent. States that keep an external file may want to:

1. build an exact replica of the trigger file,
2. write the transactions that need to be resubmitted to that file, and
3. write another application to process against this file to move it to the trigger file after the problem has been corrected.

When reconciling the Response File to the audit file, if a response file matrix has been used to block acknowledgments, the audit file must be checked for the batch that is being processed. The presence of a blank entry in the response date and Response Code should trigger an update to these two elements because the return of blank data from a transaction indicates that the record was accepted.

The types of responses the States can expect to receive from the FCR and the proposed action to be taken by the States are:

Batch Transmission Error:	Retransmit the batch.
Case Acknowledgment:	<p>Using the information received in the Response File, construct the key to the audit file using the following data elements:</p> <p>Transaction Type – the transaction type from the detail record Transaction Key – in this example, the case number submitted Batch Number – taken from the Header Record.</p> <p>After the key is constructed, read the audit file using the key and update the date of response and the Response Code. The types of responses can be found in Part 6, “FCR Transaction-Specific Information”. (Note: for IBM users, in order to re-write the record, the JCL must have DISP=MOD for the audit file.)</p>
Case Reject:	<p>Construct the key to the audit file and update the date of response and Response Code. Using the information from the Transaction Record, build a new trigger record and write this record to the trigger file. States may want an intermediate trigger file to correct the problem that caused the record to reject. The record can then be moved from the staging trigger file to the actual trigger file.</p>
Person Acknowledgment:	<p>Construct the key to the audit file and update the date of response and Response Code. If the Response Record indicates any warnings or corrections to the SSN, the case worker should be alerted either by sending a report, generating a worker alert/diary record, or automatically updating the SCR. Each State should determine which method best suits their needs.</p>
Person Reject:	<p>Construct the key to the audit file and update the date of response and Response Code. Using the information from the Transaction Record, build a new trigger record and write this record to the staging trigger file, as explained in Case Reject above. Generate a worker alert/diary entry or an exception report so the data can be corrected prior to resubmitting the person.</p>
Proactive Match:	<p>Proactive Matches may occasionally return information States already have in their system. The first step in processing proactive information is to determine if this information is already known to the State. The SCR should analyze Proactive Match information to determine if a Locate is required. If a Locate is needed, one of several options can be initiated depending on the extent of automation the State desires. If the State wants a complete hands-off approach, a CSENet Transaction can be automatically generated to query the other State(s). Refer to the <i>CSENet Users Guide</i> to determine the construction of this transaction. If this is not an acceptable approach, either a worker alert/diary entry or a report should be formatted.</p>

- Locate Response: States are required to take action within a specified time frame when certain Locate information is received. For this purpose, it is recommended that some form of document generation occur. This can be accomplished by:
1. setting up a trigger for the automatic document generation function of the State's current system,
 2. generating a document by the program that processes the Response File, or
 3. generating a worker alert to prompt the case worker to issue the document following the State's current methods.
- Query Response: The Query Response is similar to the Proactive Match Information. Processing should follow the logic described in "Proactive Match", above.

2.7 Processing of Interstate Data

The FCR provides States with the following:

1. A snapshot of information that resides in the FCR regarding specific individuals, cases and/or orders.
2. For persons in IV-D cases, all available employment information.
3. For IV-D cases, identification of other States with interest in the same participants and cases, with an indicator of existing orders on those cases.
4. A means to access all Locate resources through a single entry point.

The FCR provides matched data for as long as a IV-D case is active or a person is associated with a IV-D case. The FCR's potential to generate large volumes of interstate data underscores the importance of having an operational interstate communications capability to assist States in better managing this data.

2.7.1 OCSE NETWORK AND CSENet SUPPORT OF FCR DATA

The FCR is a powerful tool that maintains key data about cases and individuals, identifies States with shared participants, and transmits external Locate information from the FPLS to States. To fully realize the benefits of FCR data, States should use the resources that are provided by the Office of Child Support Enforcement, the OCSE Network and the Child Support Enforcement Network 2000 Application, to request additional case information to supplement data provided by the FCR.

2.7.1.1 OCSE Network

The OCSE Network is a nationwide telecommunication network that serves as a conduit for the transmission of child support information between diverse State child support enforcement systems. It provides a reliable, scalable, and secure communication mechanism for all 50 States, three territories (Virgin Islands, Puerto Rico, and Guam), and the District of Columbia. The network uses frame-relay technology to connect the State CSE (Child Support Enforcement Agency) systems with a central server.

Standardized transactions are retrieved daily by the OCSE server from States and forwarded to other State's CSE systems via the network. The primary processing site is located in Manassas, Virginia and a redundant disaster recovery site is located in Baltimore, Maryland.

2.7.1.2 CSENet Application

The CSENet 2000 Application Suite resides on the OCSE Network, enabling States to exchange standardized transactions that contain child support case information. Transactions are used to electronically to:

- request or provide the location of non-custodial parents,
- pursue child support establishment,
- carry out enforcement and collection activities, and
- exchange interstate case information.

The CSENet application validates and routes transactions from the sending State to the receiving State over the OCSE Network.

The CSENet 2000 suite's greatest assets lie in its inherent improvement of interstate case processing in that it:

- standardizes transactions,
- reduces interstate case processing time,
- improves the quality of case information that is sent to another State, by providing data integrity checks to ensure that the information transmitted is complete,
- allows States to obtain case, participant, and order information based on matches that are received from the Federal Case Registry (FCR), and
- increases interstate collections.

Additional information is found in the *CSENet Interface Guidance Document (IGD)* on the OCSE Website at:

<http://www.acf.hhs.gov/programs/cse/newhire/csenet/library/csenet2000/csenet2000.htm>

2.7.1.3 FCR-CSENet

Based on information received from the FCR, a State can identify if other States have information on a case or participant in common, and can use CSENet to automatically communicate with other States. This allows a full exchange of information on specific cases to determine the next case-processing activity.

The types of responses from the FCR that could trigger CSENet transactions are:

1. FCR Query/Proactive Match Response Record,
2. FCR IRS-1099 Locate Response Record,
3. FCR Locate Response Record, and
4. FCR NDNH Locate/Proactive Match Response Record.

2.7.1.4 CSENet and the FCR Response Records

States can issue an FCR Query when they want to determine whether other States have an interest in either a case or a participant in one of its cases. States may request any of the four types of FCR data described in Section 2.7.1.3. Because the FCR Query/Proactive Match is frequently used by States, it will be used as the example in the remainder of this section.

After requesting a proactive match, the FCR transmits the FCR Query/Proactive Match Response Record, which contains the matched information. If the FCR data indicates that a person in a case is involved in a case in another State, the requesting State can then determine the most appropriate follow-up action. When more information is needed to determine the next case action, the State may use the CSENet Case Status Information (CSI) transaction to request additional information from one or more States.

Figure 2-1 illustrates the interrelationship between the FCR, statewide automated systems and CSENet. In this illustration, two States, State A and State B, each registered a case and its associated participants with the FCR. The process illustrated for State A could also be used by State B. Note that this example involves only two States. If cases or participants in additional States are matched, State A may also request case and order information from those States using CSI Request transactions.

Figure 2-1: Relationship of the FCR, CSE Systems, and CSENet

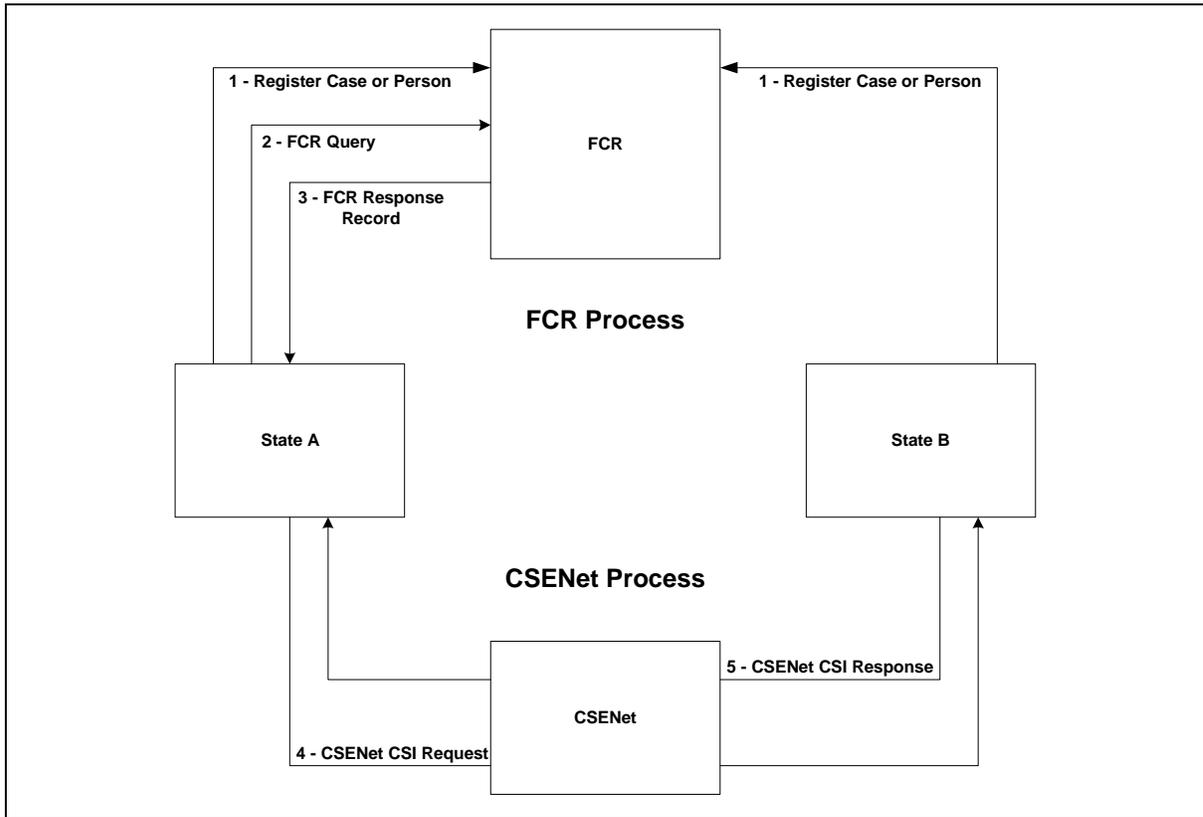


Chart 2-3 provides a possible sequence of FCR and CSENet transaction activity.

CHART 2-3: SEQUENCE OF CASE STATUS INFORMATION ACTIVITY USING CSENET	
Step	Action
FCR Process	
1.	Register Case or Person <ul style="list-style-type: none"> State A and State B each register a case or person with the FCR. (In this illustration, they are registering cases or participants that will match.)
2.	FCR Query <ul style="list-style-type: none"> State A initiates an FCR Query. The query causes the FCR to search its database for cases or participants that match those that State A is trying to locate.
3.	FCR Response Record <ul style="list-style-type: none"> State A receives an FCR Query/Proactive Match Response Record indicating that the NCP and/or CP are involved in a case in another State. The response includes the other State's FIPS Code, case ID, NCP name and social security number. State A evaluates the case to determine whether additional case information

CHART 2-3: SEQUENCE OF CASE STATUS INFORMATION ACTIVITY USING CSENET	
Step	Action
	is needed and whether sending a CSI Request is warranted. (State A may want to generate a CSI Request, if, for example, there is no order or the NCP has stopped paying on an existing order.)
CSENet Process	
4.	CSENet CSI Request <ul style="list-style-type: none"> State A sends a CSI Request (CSI R FRINF requests all available IV-D case information including all orders from State B), using State B’s FIPS code and case ID provided in the FCR record. It logs the request in its system.
5.	CSENet CSI Response <ul style="list-style-type: none"> State B receives the CSI Request and matches it to a case in its CSE system. State B sends a CSI Response (CSI P FSINF – Provide all available case information or CSI P FUINF – No case information available for the Case ID). State A evaluates the information, updates its CSE system with the new information as appropriate, and determines the next case processing action. The communication circle among the FCR, both States, and CSENet is then complete.

This example illustrates the use of the CSENet CSI transaction to follow up on an FCR Query/Proactive Match Response Record. The CSI transaction supports the exchange of case and order information and assists in the determination of the next step. CSENet transactions also support interstate requests for action between States.

2.7.1.5 Automating CSENet for FCR Processing

FCR and CSENet systems work in tandem and are tools for States to automatically exchange case information and interstate activities. States should consider establishing trigger points within the statewide CSE system for CSENet and FCR processing.

The statewide system could be programmed to:

1. analyze the incoming FCR data, review States own case status, and generate a CSI request,
2. receive and automatically process the incoming CSENet CSI response that is provided by the other State,
3. automatically process incoming CSI request, and
4. automatically generate CSI responses.

States have varying procedures and methods for evaluating incoming FCR data, based on business needs, State statutes, and Federal guidelines. For example, some States may automatically initiate the CSENet transaction when certain conditions are met. Other States

choose to review all information in a suspense file prior to taking action. It is recommended that prior to automating CSI Requests; States establish criteria to identify those cases that do not require follow-up action by the system. For example, States should consider removing the following types of cases from CSI Requests:

- A known interstate case with the State matched by the FCR,
- Cases that have a verified NCP address and/or employer,
- Cases that are not delinquent, and
- Cases with deceased NCPs.

The *CSENet IGD* provides additional information about transaction structure, record layouts, interface development, and general requirements for CSENet usage.

2.7.2 BENEFITS OF USING THE OCSE NETWORK AND THE CSENet 2000 APPLICATION TO SUPPORT FCR

In September 1999, States converted to Direct File Transfer (DFT) and at that time only three jurisdictions were using the CSENet CSI transaction. Over the last five years interstate communications and the link between the FCR and CSENet has strengthened considerably.

Today 52 States and territories are using the CSI transactions in interstate communication. During November 2005, States exchanged approximately 913,000 transactions and of the total 97,000, or 10%, were CSI Requests and Responses. The increase in CSI transaction usage serves to facilitate interstate case information sharing between States. This helps States maximize the usage of automation, for routine or time-sensitive data processing. For additional information regarding CSI transactions and automation tips please consult the *CSENet IGD* on the OCSE Website at:

<http://www.acf.hhs.gov/programs/cse/newhire/csenet/library/csenet2000/csenet2000.htm>

Or, contact your CSENet representative or the Service Desk at 800.258.2736.