

Federal Parent Locator Service

Federal Case Registry

Interface Guidance Document

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5. FCR TRANSACTION PROCEDURES

This section describes how the FCR process, verifies, and acknowledges the transactions that it receives, with particular emphasis on SSN/Name verification routines.

5.1 FCR Transaction Procedures Overview

The FCR is a batch system that is executed on a daily basis, Monday through Friday, excluding Federal holidays. At the beginning of each cycle, the FCR collects the State-submitted files that have been received via CONNECT:Direct since the last batch cycle. The data set name collected from CONNECT:Direct includes the date the transmission was sent. A State may transmit to the FCR no more than once each day with the same date in the Data Set Name. A transmitted file can include multiple batches, as long as each batch includes a unique batch number in the FCR Input Transmission Header Record. Section 5.3.3.3, “Resubmittal Process”, provides the options for resubmitting a rejected transmission.

Each batch number is edited against the Batch Control File to ensure it is not a duplicate of a previously-submitted batch. Duplicate batches are rejected and returned to the submitter without further processing. If the batch is not a duplicate, validity edits are performed for each Transaction Record in the batch. Appendix J, “Error Messages”, describes all of the edits, including validity edits that are performed by the FCR. Records that fail to pass the critical validity edits are rejected and are returned to the submitter without further processing. Records that pass the critical validity edits flow through the FCR processing modules, based on the type of record and the State-requested action for the transaction. For example, Locate Requests are processed through the SSN verification routines described in Section 5.3.1, “SSN Verification in the FCR”, and are routed to the relationship edit routines for further processing. Section 5.2, “General Transaction Flow”, provides an overview of the FCR processing modules.

The FCR creates an Acknowledgement Record for each transaction received from the State. Appendix H, “FCR Output Transaction Layouts”, presents a description of FCR Acknowledgement Records. The Acknowledgement Record indicates whether the record was accepted, rejected, or held pending SSN verification. The initial Acknowledgement is returned to the State in an FCR Routine Batch Response, one Acknowledgement for each batch number submitted by the State, within one business day of receipt by the FCR of the input transactions from the State. Inputs are considered received when the FCR collects the submission from CONNECT:Direct. A delay between the receipt of the CONNECT:Direct transmission and the FCR acceptance may be experienced due to the schedule of the FCR production cycle. For example, a file received via CONNECT:Direct on Sunday, October 18, 1998, is considered received by the FCR on Monday, October 19, 1998. Final Acknowledgements, acceptance or rejection for records held pending SSN verification, are returned in FCR Pending Resolution Batch Responses when the SSN verification process is complete. If during the SSN verification process, manual review or IRS-U is required to identify the SSN, the final Acknowledgement may be delayed up to 30 days.

FCR Input Query Records that pass the FCR edits are processed in one batch cycle. FCR Query/Proactive Match Response Records are created for each accepted query. Multiple Response Records may be created for a single query based on the number of cases associated with the person. An Acknowledgement for the FCR Input Query is also returned. The Acknowledgement is returned using the same CONNECT:Direct transmission in the FCR Routine Batch Response.

The FCR interfaces with the FPLS when responding to State requests for Locate processing submitted using the FCR Input Person/Locate Request Record. The FCR generates a Locate Request to the FPLS for FCR Input Person/Locate Request Records that:

- pass the required FCR edits,
- have no associated FV Indicators,
- have SSN validity codes of verified, or unverified SSN/Name combination with probable name match,
- specify external (non-NDNH or IRS-1099) Locate sources, and
- are from a State with an agreement with the IRS if IRS-1099 is requested.

The FCR communicates with the FPLS on a daily basis to send Locates and to receive Locate Responses. The request for Locate processing is stored on the FCR awaiting a response. When the FCR receives a response from the FPLS, the response is formatted and returned to the State in an FCR Locate Response Batch. Generally, the State can expect to receive the results of all FPLS external Locate sources within three weeks of the request.

The FCR performs five types of Proactive Matching; (the first three are triggered based on input transactions that are received from the States):

1. Newly-added or updated person information on the FCR, that meets the selection criteria, is matched to other person information on the FCR in FCR-to-FCR Proactive Matching.
2. Newly-added or updated person information on the FCR, that meets the selection criteria, is matched to the NDNH in FCR-to-NDNH Proactive Matching.
3. Newly-added or updated person information on the FCR that meets the selection criteria is matched to the State Verification and Exchange System (SVES) in FCR-to-SVES Proactive Matching.
4. Newly-added information on the NDNH, that meets the selection criteria, is matched to person information on the FCR in NDNH-to-FCR Proactive Matching.
5. Added or changed SSA Title II Pending records are matched against the FCR and returned to States that meet the SSA Title II Pending Claim-to-FCR proactive criteria State.

Section 4.2.4, “FCR Proactive Match Processing”, discusses the selection criteria for Proactive Matching. The results of the FCR-to-FCR and FCR-to-NDNH Proactive Matching process will be sent to the State within two business days of the acceptance of the FCR Input Person/Locate Request Record for a person being added and, in certain situations, updated on the FCR. The results of the NDNH-to-FCR Proactive Matching are sent to the State within two business days of the acceptance of the new information on the NDNH.

States receive FCR Proactive Match Records, FCR Query Response Records, Insurance Match Response Records, and Locate Response Records generated during a daily cycle in an FCR Locate Response Batch. The FCR Response Trailer Record for the batch indicates the number of each type of record included in the batch. The FCR interfaces with the OCSE Project 1099 system when responding to a State request for Locate processing submitted using the FCR Input Person/Locate Request Record. The FCR generates a Locate Request to OCSE Project 1099 for FCR Input Person/Locate Request Records submitted by authorized States that:

- pass the required FCR edits,
- have no associated FV Indicators,
- have verified SSNs, and
- specify IRS-1099 as a Locate source.

The FCR communicates with the Project 1099 system daily to send Locate Requests. The Project 1099 system communicates with the IRS monthly, and returns the responses to the FCR when they are received from IRS. When the FCR receives the response from the Project 1099 system, the responses are formatted and returned to the State in an FCR Locate Response Batch. Federal regulations require that the FCR Locate Response Batch that includes 1099 information be sent to the State in a separate CONNECT:Direct transmission. In order to recognize the IRS-1099 responses, a unique CONNECT:Direct data set name is used. The State can expect to receive the results of IRS-1099 Locate Requests within 30 to 60 days from submission.

The FCR communicates with the Insurance Matching System to receive Insurance Match Response records that are formatted and returned to the State in an FCR Locate Response Batch.

States may receive two CONNECT:Direct transmissions from each daily FCR cycle. The FCR Routine Batch Response, the FCR Pending Resolution Batch Response, and the FCR Locate Response Batch for non-1099 information, are sent to the State in the same transmission. The FCR Locate Response Batch for 1099 information is sent to the State in a second transmission.

5.2 General Transaction Flow

The FCR processes all batch input transactions through a series of edits to ensure the validity and accuracy of the information received. Transactions that pass the initial edits are processed through the system according to the transaction type and the action requested by the submitter. Each transaction flows through one or more of the following FCR functions:

- Edit Transaction,
- Verify SSN,
- Edit Case/Person Transaction and Update Database,
- Edit Locates and Update Database,
- Edit Locate Response and Update Database, and

- Create CONNECT:Direct Responses.

The general flow of transactions through the FCR is illustrated in Figures 5-1, 5-2 and 5-3, which are shown on the following pages.

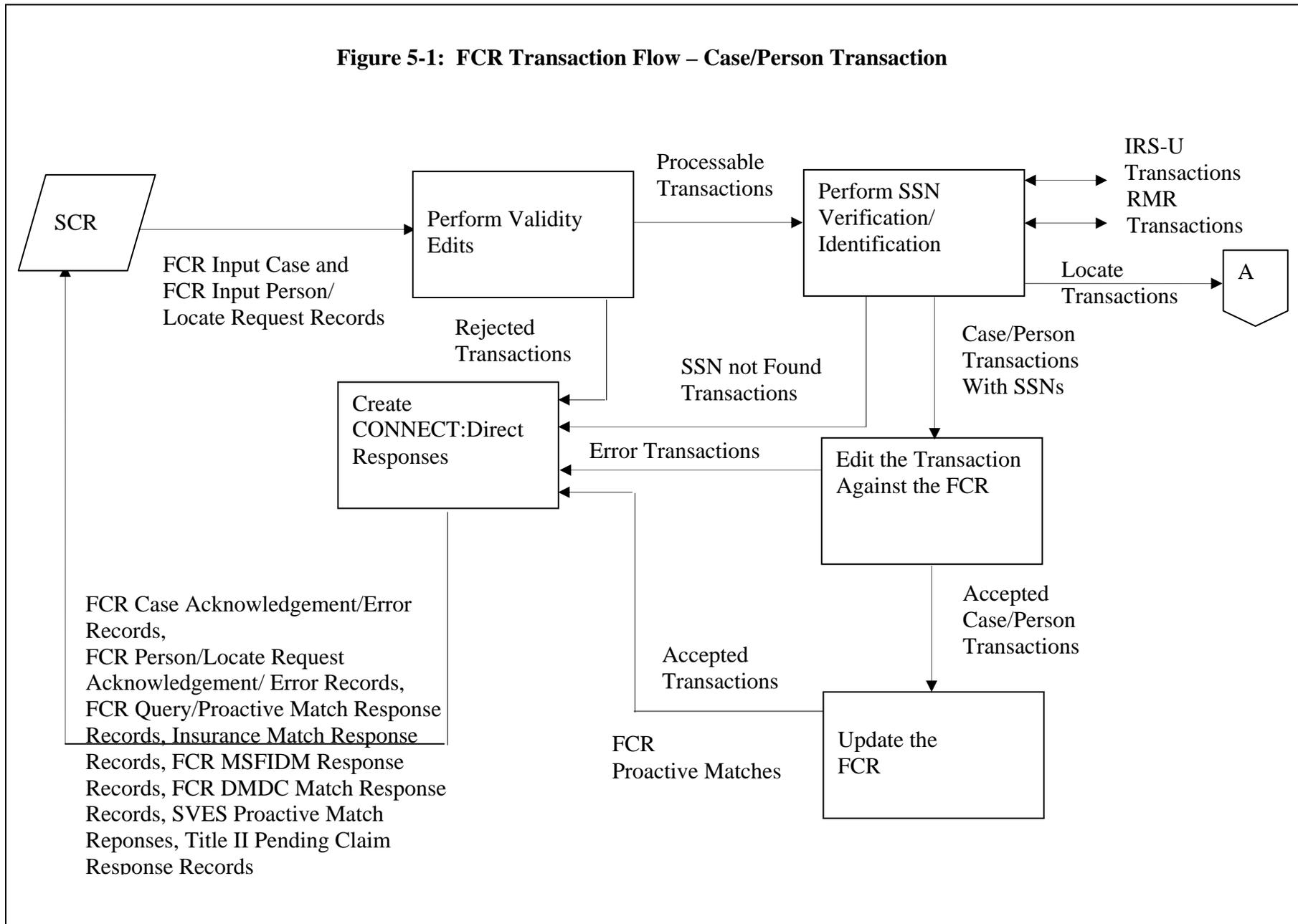
Figure 5-1, “FCR Transaction Flow – Case/Person Transaction”, depicts the flow of the data associated with adding, updating or deleting cases and persons.

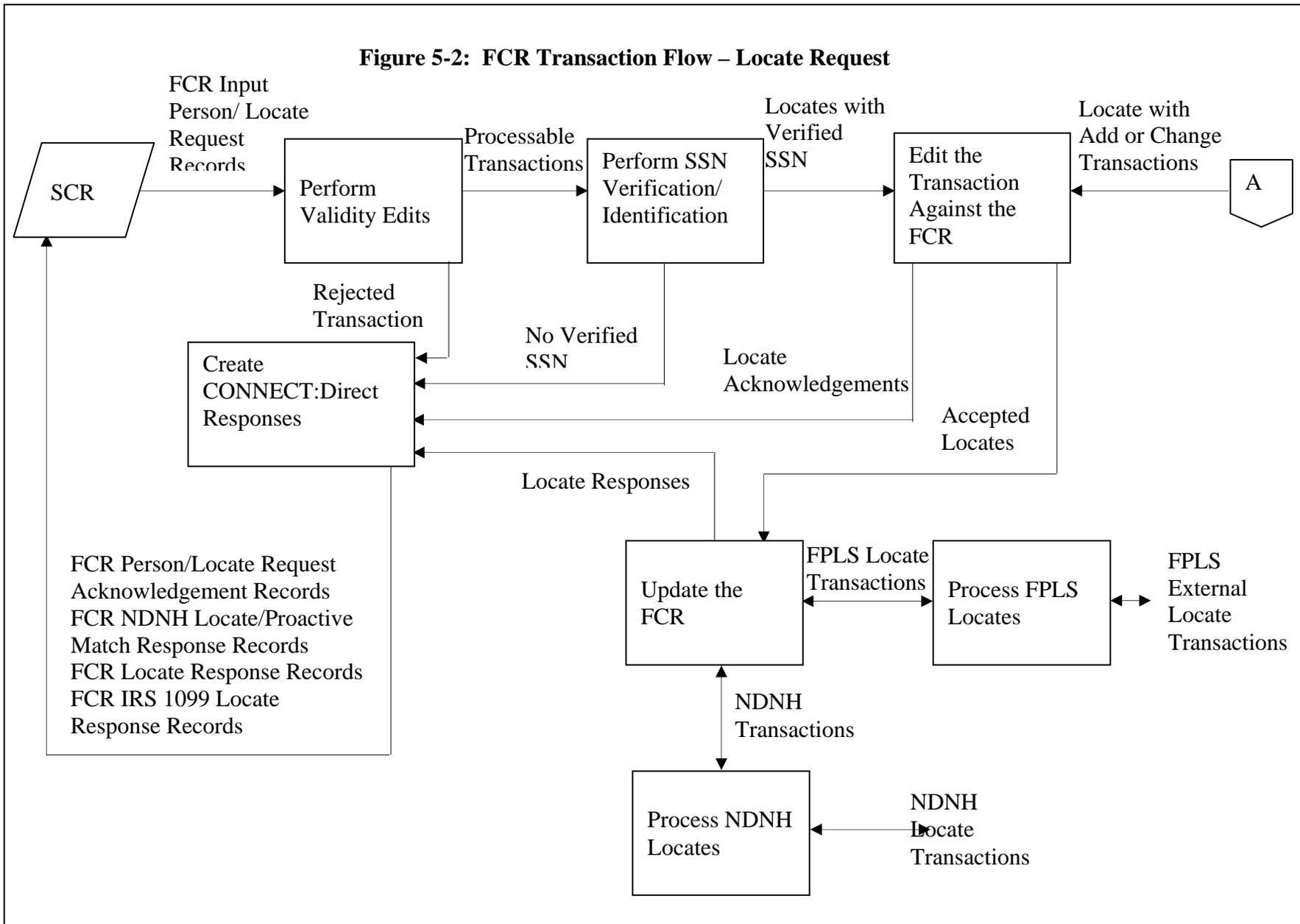
Figure 5-2, “FCR Transaction Flow – Locate Request”, depicts the flow of data associated with Locate Requests. Note that the flow depicts Locate Requests submitted either with or without transactions to add or update a person.

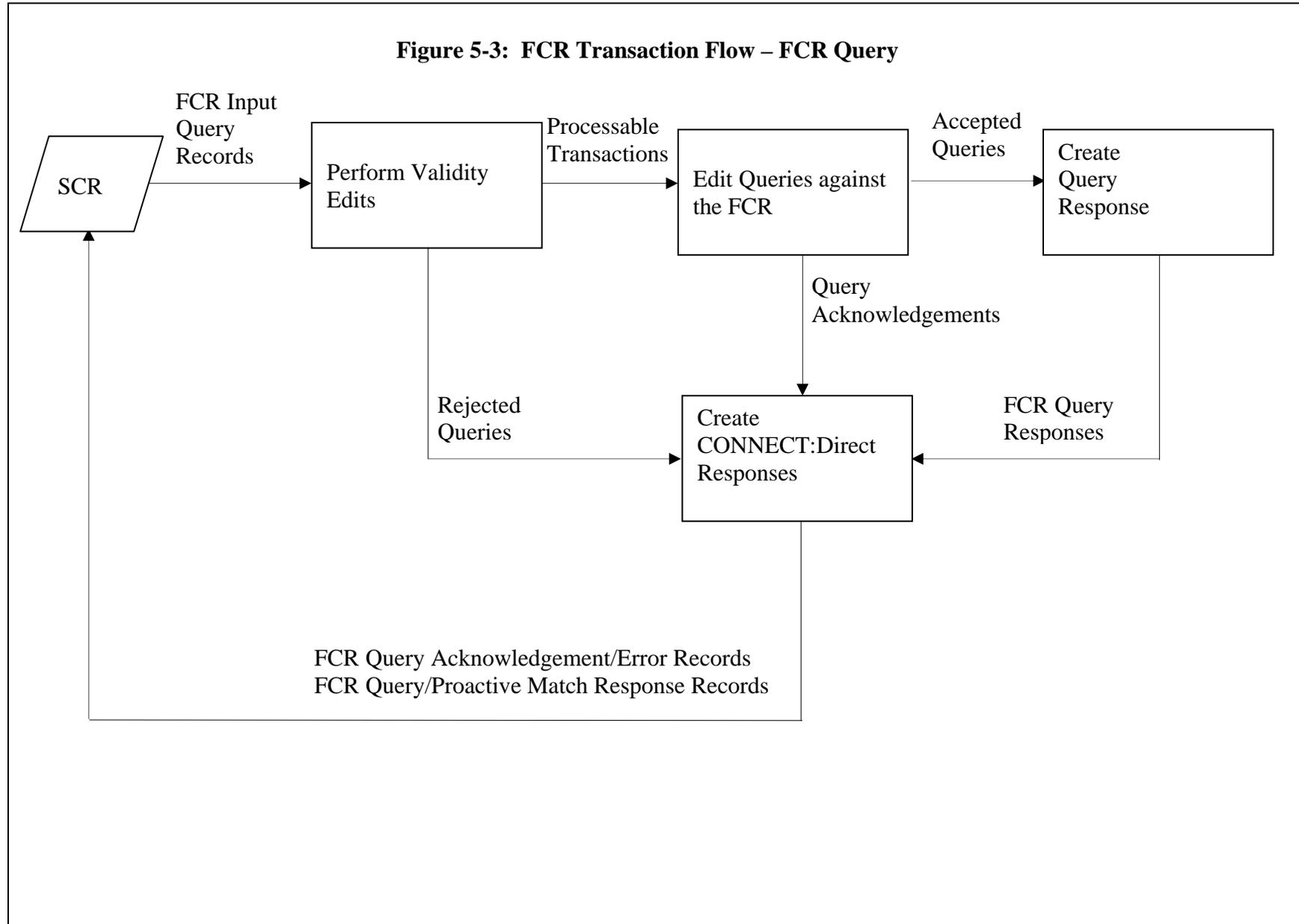
Figure 5-3, “FCR Transaction Flow – FCR Query”, depicts the flow of data associated with the FCR Query.

The rectangular boxes in Figures 5-1 through 5-3 define the processes performed. The figures also show the systems with which the FCR interfaces. The flow lines illustrate the information flowing between the interface systems and the processes. Part 6, “FCR Transaction-Specific Information”, provides details on the FCR processing of transactions based on the action that is requested.

Figure 5-1: FCR Transaction Flow – Case/Person Transaction







5.3 Common Processes

Whenever possible, the FCR utilizes common processes and responses for input and output transactions to ensure consistency in the disposition of the transactions. The following are presented in this section:

- Social Security Number Verification in the FCR,
- Acknowledgement Responses, and
- Error/Warning Responses.

5.3.1 SSN VERIFICATION IN THE FCR

Upon receipt of information from an SCR, the FCR verifies the submitted SSN and Name combination with SSA. If the State does not submit an SSN but submits additional information, the FCR attempts to identify the SSN using several of SSA's Enumeration Verification System (EVS) processes and the ESKARI process. In addition, if the appropriate information is submitted, the FCR sends information to the IRS in an attempt to identify an SSN (IRS-U). There are several possible outcomes of the verification processes and the FCR sends the State notification of the SSN processing results.

There are many factors that affect the accuracy of the SSNs and States need to be aware that these factors may produce unexpected SSN results. Knowing the factors that are involved in the EVS routines may assist the State in submitting data that will produce the most accurate SSN verification results. These factors are addressed throughout the remainder of this section.

The State receives the SSN status for each Person Record sent in a batch. The State also receives the errors, warnings and corrections on individual records. The submitter of the FCR data receives notification of the errors, warnings and corrections in the FCR Person/Locate Request Acknowledgement/Error Record. Refer to Appendix J, "Error Messages", for the error and warning codes associated with the SSN errors. Refer to Appendix G, "FCR Input Transaction Layouts", and Appendix H, "FCR Output Transaction Layouts", for a description of the record layouts.

There are restrictions on returning corrected or identified SSNs and identified multiple SSNs. A corrected, identified or identified multiple SSN is not returned if the following conditions exist:

- The input transaction is a Locate Request with a 'CV' or 'PK' Locate Request Type.
- The input transaction is a Locate Request with an 'AD' or 'LC' Locate Request Type and the person is on the FCR with an FV Indicator.

Refer to Chart 5-3, "SSN Verification Processing Results When Adding or Changing Persons on the FCR", and Chart 5-4, "SSN Verification Processing Results When Requesting Locate Processing for a Person Not Being Added to the FCR", for a summary of the FCR responses to the outcomes of the SSN verification processing.

States should maintain vigilance when using the SSN verification process and its output. The original recommendation by States was that in the various routines utilized by the FCR to verify and identify SSNs, the FCR would use the information supplied by SSA and notify States of that information. The States should review SSN information that is returned by the FCR if it is different from the SSN information provided by the State. In some instances, States will need to adjust the data in their State or FCR record(s) based on the information provided by SSA.

The following sections describe the processes involved in the FCR SSN Verification process.

Note: SSNs' are shown in format ###-XX-####.

5.3.1.1 Invalid SSNs

The first process in SSA's SSN verification routines is to check the SSN to determine if it is within the range of the SSNs issued to date by SSA (known as the High Group Check). If the SSN has not been issued, the SSN is invalid. In this instance, the SSN verification routine initiates the "Alpha Search" process (see Section 5.3.1.5, "Identified SSNs," below) in an attempt to determine if the person has a verified SSN. If a single SSN/Name combination is found, the FCR accepts and stores the record as verified using the SSN that was found. If not, the FCR stores the person and the invalid SSN as an unverified record. This same process is followed when a State submits an SSN that is all 6s or all 9s, with one exception: SSNs that are all zeroes, all 6s or all 9s are not stored on the FCR as unverified, but are rejected and returned to the State when a correct SSN cannot be identified. (Note: all 6s and all 9s are commonly used as substitutes when a real SSN is not known.)

Example The SSN submitted with the FCR Person Record is 123-XX-6789.

- SSA identifies 123-XX-6789 as a number that has not been issued.
- SSA attempts to identify an SSN or correct the submitted SSN.
- An SSN is not identified and the SSN cannot be corrected.
- The FCR stores the record as unverified and notifies the State that 123-XX-6789 is not an SSN issued by SSA.

5.3.1.2 Verified SSNs

If the submitted SSN is within the range of SSNs issued, the next SSA verification routine checks the submitted SSN and name against SSA's database. If the SSN and name combination matches the SSN and name combination in SSA's database and the submitted DOB is within SSA's accepted range, the FCR notifies the State that the SSN is verified.

Example The SSN and name submitted with the FCR record are 390-XX-5520 and Joan Pastor. The record also includes a DOB of 12/31/65.

- SSA verifies that 390-XX-5520 and Joan Pastor match the SSN and name in SSA's database.
- The DOB is within SSA's accepted range.
- The system notifies the State that Joan Pastor with SSN 390-XX-5520 is a verified SSN/Name combination.

If the SSN/Name combination that was submitted matches an SSN/Name combination in SSA’s database and the DOB was not submitted, the FCR attempts to identify the DOB using one of SSA’s EVS routines. If SSA identifies a DOB, the FCR notifies the submitter of the DOB and that the SSN/Name combination is verified. If SSA does not identify a DOB, the FCR notifies the submitter that the SSN/Name combination is verified.

- Example** The SSN and name that is submitted with the FCR record are 290-XX-2220 and Frank Lander. The record does not include a DOB.
- SSA verifies that 290-XX-2220 and Frank Lander match an SSN and name in SSA’s database.
 - The DOB on SSA’s records is 11/21/75.
 - The FCR notifies the submitter that Frank Lander with SSN 290-XX-2220 is a verified SSN/Name combination and that his DOB is 11/21/75.
- SSA considers an SSN/Name combination verified under the following circumstances:
- The SSN verified on Name, DOB and Sex Code (if submitted).
 - The SSN verified on Name and DOB, but the Sex Code does not match (if submitted).

A DOB is considered a match by SSA’s routines under the conditions outlined in Chart 5-1.

CHART 5-1: DATE OF BIRTH MATCHING RULES	
Date of Birth Matching Rule	Example Submitted Data = or ≠ SSA Data
The year of birth on the submitted record matches the year of birth in SSA’s records.	12/3/1944 = 4/18/1944 6/1/1978 = 1/6/1978
The submitted year of birth is plus or minus one year of the year of birth in SSA’s records and the month is an exact match.	3/14/1942 = 3/25/1941 7/12/1951 = 7/21/1952 3/14/1942 ≠ 3/14/1940 7/12/1951 ≠ 8/12/1952

A name is considered matched if the name meets one of the tolerances established by SSA. Chart 5-2 outlines the name tolerances. The tolerances are executed sequentially as shown in the chart.

CHART 5-2: SSN VERIFICATION NAME TOLERANCES		
Number	Tolerance	Example: Submitted Data = or ≠ SSA Data
1	Exact agreement on the first 7 positions of the surname AND exact agreement on the first and middle initials.	Debbie Ann Spencer = Deborah Amy Spencer D.A. Spencer = Deborah Anne Spencer R.L. Stevenson = Robert L. Stevensen D.A. Spencer Smith ≠ Debbi A. Smith R.L. Steyens ≠ Robert L. Stephens
2	Exact agreement on the first 7 positions of the surname AND the submitted first initial matches the first <u>or</u> middle initial on SSA's records.	S. Donaldson = Albert Samuel Donaldson S. Donaldson = Samuel Q. Donaldson M. Brookfield = M.R. Brookfielder F. Donaldson ≠ Effie Donaldson S. Donnelson ≠ Samuel Donaldson S. Bowers ≠ PeggySue Ann Bowers
3	Exact match on the first 4 positions of the surname AND -the first 4 positions of the first name, or if the input first and middle names are only initials, an exact match on <u>both</u> the first and middle initial.	William Smith = Willie Smithers R.C. Browning = Robert Cole Brown Wilson Smith ≠ Wilie Smith R.C. Brown ≠ Cathy Rebecca Brown
4	One letter difference or a transposition of two adjacent letters of a surname AND any of 5 conditions for initials is met as outlined in 4a through 4e.	Surname tolerance: Johnson = Johnsen or Johnston (but not Johnsten) Dressel = Dressle (but not Pressle) Clark = Clarke or Clerk (but not Clarkston) Msith = Smith
4a	Exact match on the initials of the first and middle names.	A.B. = A.B. A.B. = Amy B. J.J. = Joseph John
4b	The input initials of the first and middle names transposed match exactly.	A.B. = B.A. B.A. = Amy Brenda

CHART 5-2: SSN VERIFICATION NAME TOLERANCES		
Number	Tolerance	Example: Submitted Data = or ≠ SSA Data
4c	The input first or middle initial matches the SSA first initial when only one initial is present on SSA's records.	A.B. = A. B.A. = A. A.B. = B. B.A. = B.
4d	The input first initial matches the SSA first initial and the input middle initial disagrees with the SSA middle initial, but the input middle initial does match the first initial of a prior SSA surname for a female.	Gender equals 'F' A.B. Smith = A.G. Smith and the prior surname is Brown B.Y. Hagedron = B.J. Hagedorn and prior surname is Young
4e	There is an extraneous letter in the first seven positions of the input surname and the input first initial matches the SSA first or middle initial. This does not apply to prior surnames.	M. Jjohnson = Margaret A. Johnson M. Joohnson = Sue Marie Johnson M. Johnson ≠ Peggy Sue Johnson Y. Hageddorn ≠ Barbara Hagedorn and the prior surname is Young
5	There is one missing letter in the first seven positions of the input surname and the input first initial matches the SSA first or middle initial.	A.F. ohnston = A. Johnston R. Clrk = David Ralph Clark O.R. Clrk ≠ David Ralph Clarke D.R. Clrk ≠ David R. Clarke
6	The input compound surname MAY verify using only 1 surname. If the single, input surname contains more than 3 letters, SSA compares 7 positions of the input surname to their records using positions 1-7, 2-8, 3-9, etc., up to 9-15. If there is a match AND the first and middle initials match, the compound surname is considered verified.	Joyce Chen = Joyce {LuChen} Jose Rivera = Jose {GarciaRivera} E L Presti = Emil R. Lopresti Joyce C Lu ≠ Joyce {LuChen} Jose R. Gomez ≠ Jose Gomez {RiveraGarcia} Susan Smith-Jones ≠ Susan S. Jones

5.3.1.3 Multiple Verified SSNs

SSA's SSN verification routine can sometimes identify if a person has valid multiple SSNs. At one time, it was possible (and legal) for an individual to apply for an SSN more than one time. If SSA identifies multiple SSNs, the FCR notifies the State of the verified multiple SSNs, except when the conditions meet the criteria outlined in Section 5.3.1, "SSN Verification in the FCR".

- Example:** The SSN and name submitted with an Add Person FCR Record are 148-XX-2120 and Daniel Abbott.
- SSA identifies that 148-XX-2120 and Daniel Abbott match the SSN and Name in SSA's database.
 - SSA identifies two additional SSNs that may be assigned to Daniel Abbott: 486-XX-1488 and 622-XX-9331.
 - SSA verifies that Daniel Abbott and 486-XX-1488 is a valid Name and SSN.
 - SSA verifies that Daniel Abbott and 622-XX-9331 is a valid Name and SSN.
 - The FCR stores each SSN for Daniel Abbott. The system notifies the State that Daniel Abbott and the submitted SSN, 148-XX-2120, is verified and that SSNs 486-XX-1488 and 622-XX-9331 have been identified as valid multiple SSNs.

5.3.1.4 Corrected SSNs

If the SSN and name do not match any SSN and name combination on SSA's database, the validating routines attempt to identify the correct SSN with various processes. The processes attempt to correct SSNs that may contain transposed digits or when there may be a difference in only one digit. The SSA system generates up to 89 different SSNs by substituting one digit at a time and then by transposing two adjacent digits. If one and only one SSN is located which matches the input record on Name, DOB and Sex Code (if available), SSA considers the SSN corrected. The name matching rules for this process require an exact match of the first four letters of the First Name and the first seven letters of the surname. The DOB matching rules, as outlined in Chart 5-1, "Date of Birth Matching Rules," must also be met.

If SSA corrects the SSN, the FCR designates the SSN as verified and notifies the State of the correct SSN, except when the conditions meet the criteria outlined in Section 5.3.1, "SSN Verification in the FCR".

- Example** The SSN and name submitted with a record are 381-XX-2317 and Linda Kay.
- SSA determines that the last two digits of the SSN were transposed and that the correct number for Linda Kay is 381-XX-2371.
 - The system notifies the State that Linda Kay's correct SSN is 381-XX-2371.

- Example** The SSN and name submitted with an FCR record are 148-XX-0036 and Don Campbell.
- SSA determines that the last digit of the submitted SSN is incorrect and the

correct number for Don Campbell is 148-XX-0038.

- The system notifies the State that Don Campbell's correct SSN is 148-XX-0038.

5.3.1.5 Identified SSNs

If a State does not have an SSN for a person, they may submit the record to the FCR and the system will attempt to identify the SSN. In addition, if a submitted SSN does not verify, the system will try to identify an SSN. Several automated routines or a manual routine can be performed to identify the SSN, if a name and additional information are provided. If an SSN is identified, the FCR notifies the State of the identified SSN with an indication of the process used to identify the SSN, except when the conditions meet the criteria outlined in Section 5.3.1, "SSN Verification in the FCR". If a response is not received from the SSN identification process within 30 days, the FCR rejects the record if an SSN was not submitted on the record, or accepts the record as unverified. The FCR notifies the submitter of the rejection or unverified SSN. The SSN identification routines include the following processing:

SSA Alpha-Search: The EVS alpha search identification process is used in two circumstances: (1) when a State submits a record with a person's name and DOB, but no SSN or the SSN and Name combination submitted did not verify, and (2) when a State submits a record with an SSN that fails the High Group Check (see Section 5.3.1.1, "Invalid SSNs", above). If this process identifies one, and only one, possible SSN, SSA notifies the FCR of the SSN. If the process identifies more than one possible SSN, further processing takes place via one or more of the other SSN identification routines, if certain additional information was submitted with the record. The additional information varies for each identification process.

The Alpha Search routine considers an SSN as identified if all of the following conditions exist:

- The first four positions of the SSA first name match the first four positions of the First Name on the input record.
- The first three positions of the SSA middle name match the first three positions of the Middle Name on the input record (if present).
- The first eight positions of the SSA surname match the first eight positions of the Last Name on the input record.
- The submitted DOB meets the DOB matching rules as outlined in Chart 5-1, "Date of Birth Matching Rules".
- The system finds only one SSN.

Example The name and DOB submitted with an FCR record are Jane Doe and February 10, 1954.

- SSA identifies that Jane Doe's SSN is 622-XX-2936 and the DOB is an exact match.
- The system notifies the State that SSA has identified SSN 622-XX-2936 for Jane Doe.

ESKARI: The ESKARI process is used when a State submits a person's Name, Sex Code, DOB, State or Country of Birth, and at least two of the following three pieces of information:

1. Father's First Name and Father's Last Name;
2. Mother's First Name and Mother's Maiden Name;
3. City of Birth.

Note: If Father's First Name or Last Name (or Mother's First Name or Maiden Name) is not known, the FCR will initiate the ESKARI search by putting the word 'unknown' into the blank field. However, the more information that is provided, the better the chances are that an SSN can be identified for the person.

If the ESKARI process identifies one, and only one, possible SSN, SSA notifies the FCR of the SSN. This SSN is assumed to be the correct SSN for the person, it is stored on the FCR and the State is notified. If the process identifies more than one possible SSN and the person is a CP, NCP or PF in a IV-D case, a list of the possible SSNs is forwarded to OCSE for them to perform the Requires Manual Review (RMR) process (described below). If the ESKARI Process identifies more than one possible SSN for a CH or for a person in a Non IV-D order, the FCR rejects the record.

Example The State submits a record with the following data elements:

Participant Name	Cathy Kyle
Date of Birth	March 30, 1952
Sex Code	F
City of Birth	Akron
State of Birth	Ohio
Father's First Name	John
Father's Last Name	Ritter

- SSA identifies SSN 486-XX-1778 for Cathy Kyle.
- The FCR notifies the State that SSA has identified the SSN 486-XX-1778 for Cathy Kyle and that the SSN was found through the ESKARI process.

RMR: If the ESKARI process identifies more than one possible SSN and the participant is a CP, NCP or PF in a IV-D case, a list of the possible SSNs and other associated information is sent to OCSE to perform the "Requires Manual Review" (RMR) process. The RMR process is a manual procedure performed by OCSE to select, from the list of possible SSNs, the one that seems most likely to be the SSN of the person in question. If a State provided the Father's Middle Initial and/or the Mother's Middle Initial for the individual being processed, OCSE can use the information to enhance the accuracy of the selection process. In some instances, OCSE does not select an SSN due to low confidence in the supplied data and the FCR rejects the record. If OCSE does select an SSN, the FCR notifies the State of the SSN selected and indicates that the SSN was selected using the RMR process. Since this process is a selection of the most likely SSN, States may want to use caution in using SSNs identified in this way.

Example The State submits a record for a CP, NCP or PF in a IV-D case with the following data elements:

Participant Name	Mark Wayne
Date of Birth	September 3, 1949
City of Birth	St. Louis
State of Birth	Missouri
Father's First Name	Bill
Mother's Maiden Name	Johnson

- SSA identifies three possible SSNs for Mark Wayne: 390-XX-2118, 148-XX-2235, and 622-XX-0022.
- The system sends the list of possible SSNs to OCSE for manual review.
- OCSE determines that SSN 148-XX-2235 is the most likely SSN for Mark Wayne and notifies the FCR of the selection.
- The FCR notifies the State that SSN 148-XX-2235 has been identified for Mark Wayne and that the SSN was found through the RMR process.

IRS-U: The IRS-U identification process is used when a State knows the NCP's name and the spouse's or ex-spouse's SSN (IRS-U SSN). The FCR submits the NCP's name and the spouse's SSN to the IRS in an attempt to identify the NCP's SSN from a joint tax return, if a joint tax return is on file. The FCR uses this process in both IV-D cases and Non IV-D orders. If the IRS provides an SSN from a joint tax return, the system forwards the SSN to SSA for verification. If the SSN provided by the IRS passes verification, it is added to the FCR and returned to the State. Because SSNs that are identified in the IRS-U process are sent for independent verification through SSA, the State does not need to perform collateral verification on such an SSN.

If the State did not submit a DOB on the transaction and one is identified by SSA, the FCR returns the DOB to the State.

If the IRS-U process cannot identify a verified SSN, the FCR will either reject the record or accept the record as unverified if the State had submitted an SSN.

Example The State submits a record with only an NCP name of Andrew Smith and an IRS-U SSN of 381-XX-1660.

- The FCR sends Andrew Smith and IRS-U SSN 381-XX-1660 to the IRS to determine if Andrew Smith has ever filed a joint tax return with the person whose SSN is 381-XX-1660.
- The IRS notifies the FCR that it has identified an SSN of 622-XX-1811 for Andrew Smith.
- The FCR submits the SSN/Name combination of 622-XX-1811/Andrew Smith to SSA for verification.
- SSA verifies that 622-XX-1811 and Andrew Smith match the SSN and name in SSA's database.
- The system notifies the State that the SSN of 622-XX-1811 has been identified for Andrew Smith and that the SSN was found through the IRS-U process.

5.3.1.6 Unverified SSN and Name Combination with Probable Name Match

SSN and name combinations that are unverified will be sent to an SSA's name matching routine, and the results of name matching will be assigned a confidence score. Unverified SSN and name combinations with a confidence score that matches or exceeds the FCR's specified threshold will be identified as "Unverified SSN/Name Combination with Probable Name Match". This SSN and name combination will be treated as a verified SSN and name combination in FCR and will be eligible for Proactive Matching and Locate Processing.

- Example** The SSN and name submitted with a record are 371-XX-1115 and Bob Jones.
- SSA has record with the name assigned to 371-XX-1115 is Robert Jones.
 - The system notifies the State that the SSN is unverified SSN/Name combination with probable name match because Bob Jones does not match the name associated with 371-XX-1115 on SSA's database but the name match routine confidence score identified that SSN and name is a probable name match.

The FCR will notify States when this unverified SSN and name combination is a probable name match in the initial FCR Person/Locate Request Acknowledgement/Error Record.

5.3.1.7 Unverified SSNs

If the submitted SSN and name do not match the SSN and name in SSA's database, and failed the name match routine, SSA is unable to correct the SSN or the SSN cannot be identified by one of the identification processes, the FCR designates the SSN as unverified. The FCR notifies the State that the SSN is unverified. The FCR stores the Person Records with unverified SSNs in suspense.

- Example** The SSN and name submitted with a record are 381-XX-3525 and Dave Jones.
- The system verifies that the name assigned to 381-XX-3525 is not Dave Jones.
 - The system notifies the State that the SSN is unverified because Dave Jones does not match the name associated with 381-XX-3525 on SSA's database.

If a State subsequently identifies a new SSN or name for the person with an unverified SSN, the State may submit a change action to add the new data to the FCR. The FCR will attempt to verify the SSN and name combination using the new data.

5.3.1.8 Unable to Identify an SSN

If a State sends a record without an SSN and the FCR is unable to identify an SSN or the SSN is not identified within 30 days, the FCR rejects the record and notifies the State that the record is rejected. The system does not store rejected records. If a State subsequently finds an SSN or additional information that might assist in the SSN identification process, the State should submit the record using the "FCR Input Person/Locate Request Record" with an Add

action. The FCR system then submits the record and information through the appropriate SSN verification and identification processes.

5.3.1.9 SSN Verification for Additional SSNs

If a State submits Additional SSNs, the system attempts to verify these SSNs. The FCR attempts to verify an Additional SSN by submitting the participant's Name and the Additional SSN through the various SSN verification routines. Additional SSNs are only submitted to the SSA SSN verification routines and name match with the participant's First Name, Middle Name and Last Name. The Additional Names are not submitted with Additional SSNs for verification. The outcomes of the Additional SSN verification are as follows:

- If the SSN submitted with the record verifies with the submitted First Name, Middle Name and Last Name, this SSN/Name combination is stored on the FCR as the Primary SSN and Primary Name. The FCR also attempts to verify the Primary Name with each submitted Additional SSN. The FCR stores the verification status of each Additional SSN/Primary Name combination. If an Additional SSN is verified, or is unverified SSN/Name combination with probable name match, the appropriate Proactive Matching takes place with each Additional SSN.
- If the SSN submitted with the record does not verify with the submitted First Name, Middle Name and Last Name, but an Additional SSN verifies with the First Name, Middle Name and Last Name, the FCR stores the Additional SSN as the Primary SSN and the appropriate Proactive Matching takes place with the Primary SSN.

The submitter is notified in the FCR Person/Locate Request Acknowledgement Record of the SSN verification status and which SSN is stored as the Primary SSN. The SSN verification status of Additional SSNs, while stored on the FCR, is also returned to the submitter.

5.3.1.10 SSN Verification for Additional Names

If a State submits Additional Names, the system attempts to verify the Additional Names with the SSN submitted on the record (not the Additional SSNs). The FCR attempts to verify an Additional Name by submitting the Additional Name and the SSN through the various SSN verification routines and name match. Additional Names are only submitted to the SSA SSN verification routines and name match with the SSN. The Additional SSNs are not submitted with Additional Names for verification. The outcomes of the Additional Name verification are as follows:

- If the submitted First Name, Middle Name and Last Name verify with the submitted SSN, or is unverified SSN/Name combination with probable name match, this SSN/Name combination is stored on the FCR as the Primary SSN and Primary Name. The FCR also attempts to verify the Primary SSN with each submitted Additional Name. The FCR stores the verification status of each Primary SSN/Additional Name combination.
- If the submitted First Name, Middle Name and Last Name is not unverified SSN/Name combination with probable name match, or does not verify with the SSN, but one of the Additional Names verifies with the SSN, the FCR stores the Additional Name as the Primary Name.

The submitter is notified in the FCR Person/Locate Request Acknowledgement Record of the SSN verification status and which Name is stored as the Primary Name. The verification status of Additional Names, while stored on the FCR, is not returned to the submitter.

5.3.1.11 SSN Verification When Adding or Changing Persons

Chart 5-3, “SSN Verification Processing Results When Adding or Changing Persons on the FCR”, outlines the seven possible SSN statuses. This chart contains the following information:

1. The SSN status after processing the record through all appropriate SSN verification routines,
2. The FCR response to the SSN status, and
3. Comments regarding the information the State receives from the FCR relative to the SSN status, and guidance about this recommended State action, if needed.

The information in Chart 5-3 applies mainly to persons in IV-D cases and IV-D Locates (Locate Request Type ‘CS’). It may not apply to other conditions. Refer to Sections 5.3.1, “SSN Verification in the FCR”, through Section 5.3.1.8, “Unable to Identify an SSN”, for a more comprehensive description of the SSN processes and their outcomes.

**CHART 5-3: SSN VERIFICATION PROCESSING RESULTS WHEN
ADDING OR CHANGING PERSONS ON THE FCR**

SSN Status	FCR Response	Comments
Invalid	Record stored in suspense as unverified	The FCR sends a warning that the SSN is invalid (never been assigned). The FCR does not perform any matching to the NDNH, the FCR or external FPLS sources on SSNs stored in suspense as unverified. If a State subsequently finds another possible SSN, the State should submit the new SSN using the FCR Input Person/Locate Request Record with a Change action. In this circumstance, the FCR system would change the Person Record and submit the record with the new information to SSA for SSN verification. If the State submits a change with a new SSN or Name and the new SSN and Name do not verify, the FCR rejects the change. The original FCR record (with the unverified SSN) remains on the database.
Verified	Record added to FCR	The State receives an Acknowledgement that the submitted SSN/Name combination has been verified and that the record has been added to the FCR. The FCR performs Proactive Matching, subject to the rules described in Section 4.2.4, "FCR Proactive Match Processing," and submits search requests to external FPLS sources on the verified SSN, if requested.
Multiples Found	Record added to FCR with valid multiple SSNs	The State receives an Acknowledgement that the submitted SSN/Name combination has been verified, multiple SSNs have been found and that the record has been added to the FCR. The FCR provides the State with the multiple SSNs. The FCR performs Proactive Matching with each of the SSNs, subject to the rules described in Section 4.2.4, "FCR Proactive Match Processing," and submits search requests, if requested, to external FPLS sources on each SSN.
Corrected	Record added to FCR with corrected SSN	The State receives an Acknowledgement that the SSN has been corrected and that the record has been added to the FCR with the corrected SSN. The FCR provides the State with the corrected SSN. The FCR performs Proactive Matching, subject to the rules described in Section 4.2.4, "FCR Proactive Match Processing," and submits search requests to external FPLS sources, if requested, on the corrected SSN only.
Identified	Record added to FCR with identified SSN	The State receives an Acknowledgement that an SSN has been identified for the person and the record has been added to the FCR with the identified SSN. The FCR provides the State with the identified SSN. The FCR performs Proactive Matching, subject to the rules described

**CHART 5-3: SSN VERIFICATION PROCESSING RESULTS WHEN
ADDING OR CHANGING PERSONS ON THE FCR**

SSN Status	FCR Response	Comments
		in Section 4.2.4, “FCR Proactive Match Processing,” and submits search requests to external FPLS sources, if requested, on the identified SSN.
Unverified Combination with Probable Name Match	Record added to FCR	The State receives an Acknowledgement that the submitted SSN/Name combination is an unverified SSN and name combination with probable name match and that the record has been added to the FCR. The FCR performs Proactive Matching, subject to the rules described in Section 4.2.4, “FCR Proactive Match Processing,” and submits search requests to external FPLS sources on the unverified SSN/Name combination with probable name match, if requested.
Unverified	Record stored in suspense as unverified	The State receives a warning that the SSN is unverified. The FCR does not perform any matching against the NDNH or the FCR, and does not send search requests to FPLS external Locate sources for an SSN stored in suspense as unverified. If a State subsequently finds another possible SSN or possible name, the State should submit this information using the FCR Input Person/Locate Request Record with a Change action. If that occurs, the FCR system submits the record with the new information to SSA for SSN verification. If the new information verifies, the FCR system changes the Person Record and stores it as a verified SSN. If the new information does not result in a verified SSN, the FCR does not change the original SSN, but rejects the Change action. If the State subsequently finds additional ESKARI or IRS-U information, the State should send an FCR Input Person/Locate Request Record deleting the unverified record that is in suspense and submit a new record with the ESKARI information as an Add Transaction using the FCR Input Person/Locate Request Record.
Unable to Identify	Record rejected	The State receives an error that the SSN could not be identified and that the record has been rejected. The record is not added to the FCR or stored in suspense as unverified. No record will exist of the submitted person at the Federal level.

5.3.1.12 SSN Verification When Requesting Locates for a Person Not Being Added to the FCR

Chart 5-4, on the following page, outlines the seven possible SSN statuses. This chart contains the following information:

1. The SSN status after processing the record through all appropriate SSN verification routines,
2. The FCR response to the SSN status, and
3. Comments regarding the information the State receives from the FCR regarding the SSN status, and guidance about the recommended State action, if needed.

CHART 5-4: SSN VERIFICATION PROCESSING RESULTS WHEN REQUESTING LOCATE PROCESSING FOR A PERSON NOT BEING ADDED TO THE FCR

SSN Status	FCR Response	Comments
Invalid	Locate Request rejected	The State receives an error that the SSN is invalid (never been assigned) and that the record is rejected. If the State subsequently identifies a new SSN for the person and would like Locate processing, the State must submit the information using the FCR Input Person/Locate Request Record with a Locate action.
Verified	Locate Request processed	The State receives an Acknowledgement that the submitted SSN/Name combination has been verified, and that the Locate Request has been accepted. Locate processing takes place with the verified SSN if there is no FV Indicator associated with the person.
Multiples Found	Locate Request processed with each SSN	The State receives an Acknowledgement that the submitted SSN/Name combination has verified and that multiple SSNs have been found for the person. The FCR provides the State with the multiple SSNs, if the Locate Request Type is 'AD' or 'LC' and there is no FV Indicator, or if the Locate Request Type is 'CS'. Locate processing takes place with the submitted SSN and the valid multiple SSNs if there is no FV Indicator associated with the person.
Corrected	Locate Request processed with corrected SSN	The State receives an Acknowledgement that the SSN has been corrected and that Locate processing will take place with the corrected SSN. The FCR provides the State with the corrected SSN, if the Locate Request Type is 'AD' or 'LC' and there is no FV Indicator, or if the Locate Request Type is 'CS'.
Identified	Locate Request processed with identified SSN	The State receives an Acknowledgement that the SSN has been identified and that Locate processing will take place with the identified SSN. The FCR provides the State with the identified SSN, if the Locate Request Type is 'AD' or 'LC' and there is no FV Indicator, or if the Locate Request Type is 'CS'.
Unverified Combination with Probable Name Match	Locate Request processed	The State receives an Acknowledgement that the submitted SSN/Name combination is an unverified SSN and name combination with probable name match, and that the Locate Request has been accepted. Locate processing takes place with the unverified SSN/Name combination with probable name match if there is no FV Indicator associated with the person.

CHART 5-4: SSN VERIFICATION PROCESSING RESULTS WHEN REQUESTING LOCATE PROCESSING FOR A PERSON NOT BEING ADDED TO THE FCR		
SSN Status	FCR Response	Comments
Unverified	Locate Request rejected	The State receives an error that the SSN is unverified and that the Locate Request has been rejected. If the State subsequently identifies a new SSN or identifies information that might cause the SSN to verify, and would like Locate processing, the State must submit an FCR Input Person/ Locate Request Record with a Locate action.
Unable to Identify	Locate Request rejected	The State receives an error that the SSN could not be identified and that the Locate Request has been rejected. If the State subsequently identifies a new SSN or identifies information that might cause the SSN to verify or be identified, and would like Locate processing, the State must submit an FCR Input Person/Locate Request Record with a Locate action.

5.3.2 ACKNOWLEDGEMENT RESPONSES

The FCR acknowledges user transactions when they are processed. The Acknowledgement contains the submitted transaction and the reportable results of validity and relationship edits and SSN processing. Appendix H, “FCR Output Transaction Layouts”, contains response record layouts. Final Acknowledgement may be delayed pending SSN verification. Responses indicate if a transaction was accepted, rejected, or if further processing is on hold pending SSN verification. Responses also include error and warning codes. An error is a serious condition that terminates transaction processing; a warning permits processing to continue. Up to five error or warning codes can be displayed for each transaction. Appendix J, “Error Messages”, provides a list of the error and warning messages. The types of Acknowledgement responses returned to the States and territories follows.

The FCR Case Acknowledgement/Error Record is a copy of the FCR Input Case Record with an Acknowledgement Code and any errors or warning codes appended. These results permit confirmation of the FCR case submission and the synchronization between the FCR and SCR.

The FCR Person/Locate Request Acknowledgement/Error Record is a copy of the FCR Input Person/Locate Request Record with an Acknowledgement Code and any error or warning codes appended. This Acknowledgement includes the SSN validity code, a corrected SSN, identified SSN, DOB and/or multiple SSNs as identified by SSA, subject to the restrictions outlined in Section 5.3.1, “SSN Verification in the FCR”. Because the FCR Input Person/Locate Request Record can allow States to initiate two actions at the same time, e.g., add or change a person and initiate a request for Locate, it is possible for this combined transaction to be accepted with errors. If the record passes the critical person edits, but the request for Locate fails a critical error, the add or change person action is accepted but the request for Locate action is rejected. The appropriate Locate Error Code is appended to the Acknowledgement Record. These results enable submitters to confirm their FCR Person/Locate submissions and to synchronize the data on their SCR with their data on the FCR.

The FCR Query Acknowledgement/Error Record is a copy of the FCR Query Record with an Acknowledgement Code and any error or warning codes appended.

5.3.3 ERROR/WARNING RESPONSES

5.3.3.1 Batch Errors

When transmitting FCR data and requests for Locate processing, errors can occur at the transmission level. These errors concern the FCR Transmission Header Record or the FCR Input Trailer Record. Depending upon the type of error, the system:

- rejects the entire transmission;
- rejects part of the transmission; or
- accepts the transmission, but returns a batch warning code to the submitter.

The FCR returns output records that include all of the information received from the submitter along with any applicable transmission error and/or warning codes. A maximum of five transmission error and/or transmission warning codes can be returned per transmission. Appendix J, “Error Messages”, lists the transmission error and warning codes and their descriptions. Transmission error and warning codes are four numeric positions that begin with the number 5 (five). Appendix H, “FCR Output Transaction Layouts”, contains the actual record layouts for the data that will be returned to the submitter.

5.3.3.2 FCR Data Validation and Verification

Accurate data is essential to ensure the integrity of the FCR database. When a submitter transmits data to the FCR the data proceeds through various validation and verification processes. The FCR returns to submitters information regarding validation and verification, normally within one business day. Refer to Appendix H, “FCR Output Transaction Layouts”, for more detail regarding returned data.

5.3.3.2.1 REJECTION ERRORS

The FCR performs critical edits for each record received. When the record fails the critical edits, the system rejects the record. The FCR system does not store rejected records; it notifies the submitter of the rejected records and the reasons for rejection. Output records return all of the information received from the submitter, along with the applicable error codes. The FCR returns a maximum of five error and/or warning codes per transaction. Appendix J, “Error Messages,” lists the error and warning codes and their descriptions. Error codes are five alphanumeric positions that begin with the letters ‘LE’ for Locate-specific relationship edits, ‘PE’ for Person or Case-specific relationship edits, ‘QE’ for Query edits, or ‘TE’ for validity edits. Appendix H, “FCR Output Transaction Layouts”, contains the actual record layouts for the data the FCR returns to the submitter.

5.3.3.2.2 WARNING CODES

The FCR returns warning codes for FCR records that have invalid, incomplete or missing data elements, but do contain the minimum critical information needed to add the record to the FCR or process a Locate Request or FCR Query. Submitters should utilize these warning codes to correct existing problems to ensure that they are not carried forward into future record transmissions. The FCR stores these FCR data records and sends a warning to the submitter of the data that is invalid or missing from the record. Output records return all of the information received from the submitter, along with the applicable warning codes. The FCR returns a maximum of five error and/or warning codes per transaction. Appendix J, “Error Messages”, lists the error and warning codes and their descriptions. Warning codes are five alphanumeric positions that begin with the letters ‘LW’ for Locate specific relationship edits, ‘PW’ for Person or Case specific relationship edits, ‘QW’ for Query edits or ‘TW’ for validity edits. Appendix H, “FCR Output Transaction Layouts”, contains the actual record layouts for the data the FCR returns to the submitter.

5.3.3.2.3 SSN VERIFICATION PROCESS ERRORS

After an FCR data record passes through the general edits, the SSA performs the SSN verification. Section 5.3.1, “SSN Verification in the FCR”, outlines the SSN verification processes. Upon completion of the editing and verifying, the status of the SSN may be verified, unverified, unverified with probable name match, corrected, multiple, identified or invalid. The FCR is updated with this status.

5.3.3.3 Re-submittal Process

The re-submittal process is identical to the standard submittal process. Submitters resubmit corrected records and corrected transmissions in the standard formats using CONNECT:Direct. When resubmitting a corrected transmission, the submitter should resubmit the corrected full transmission. The submitter should include the batches from the rejected transmission in their next scheduled FCR transmission. Submitters must not resend CONNECT:Direct transmissions with the same data set name. **Each dataset name must be made unique by using a valid Transmission Date in YYMMDD format.** When resubmitting corrected records, the submitter should only resubmit the corrected records. In some instances, the rejection of a transaction will cause the rejection of other transactions. For example, if an Add Case Transaction is rejected, any persons who were being added to the FCR in that case may be rejected, even if they have passed the edits. When resubmitting a previously rejected case, the State should also resubmit the persons in that case. Submitters who are unable to correct the records or identify the transmission problems can request technical assistance. Refer to Appendix D, “Technical Support”, for a list of the available technical support resources.