

## 7.1 Overview

Part 7 provides states with automated solutions for using the Federal Parent Locator Service (FPLS) response data.

- First, consideration is given to those issues states should address when programming their systems to handle FPLS responses. These include issues regarding SSNs, addresses, income, and assets.
- Second, Part 7 presents suggestions and ideas to help states make the most of FPLS returned data.
- Last, Part 7 provides information on how to address error and warning messages returned from the Federal Case Registry (FCR).

States also will find tables for assessing the age of addresses, assessing when to send worker alerts, and suggested criteria for automating income-withholding notices.

While the FCR Interface Guidance Document (FCR IGD) details how to get data to and from the FCR, the information presented here concentrates on what may be done with the data, given various state system constraints. States should use this information as it applies to their unique systems and program requirements.

As states become more familiar with FCR data, they have suggested ideas to make the data usage process function better and more efficiently. Throughout this document, states' best practices are highlighted for each topic of discussion. These best practices are marked with the hot tip symbol shown below.



In Section 7.4, “How to Work With Response Records,” charts are provided that list error codes and warnings that may be returned with different FCR response records. The following computer symbol appears in the “Suggested Processing” column as an indication for the state to check system programs.



Both best practices marked with a HOT TIP, or the suggestion to check state system programs, should be evaluated for relevance to an individual state program.

Since Federal regulations do not specify the methodology for meeting program requirements related to FCR interface processing, states should not consider these suggestions to be mandates. Likewise, the material presented in this Guide does not address or establish system certification requirements.

To make maximum use of the information found in this Guide, states should use the additional details found in the FCR IGD, Part 6, *FCR Transaction-Specific Information* and the NDNH Guide for Data Submission.

## 7.2 Issues to Consider When Developing Automated Solutions

The FPLS, which includes the FCR and the National Directory of New Hires (NDNH) data, returns information commonly used to locate a person's address, place of employment, Social Security Number (SSN), or source of other income such as Social Security and Veterans Benefits. The FPLS accesses several external locate sources: the Department of Defense (DOD), the Federal Bureau of Investigation (FBI), the Department of Veterans Affairs (VA), the Internal Revenue Service (IRS), the Social Security Administration (SSA) and the National Security Agency (NSA). While developing automated responses to incoming data from these sources, states should consider other case conditions and criteria as well as unique program needs. Tables and Text Boxes throughout this section list issues to augment the state's implementation decision-making about handling the response files. The issues relating to SSNs, addresses, income, and assets are listed separately since they are common to many of the response files returned.

### 7.2.1 Social Security Numbers

SSNs are the most critical pieces of identifying information that pass between the State Case Registry (SCR) and the FCR. Verified SSNs are a state's key to obtaining information from the FCR regarding a person. Proactive matching, FCR Queries, and locate requests are all based on verified SSN/Name combinations stored on the FCR. It is critical that the SSN verified by the FCR be maintained in the state system and used to transmit and receive information from the FCR. States that do not store the FCR SSN will be unable to communicate with the FCR and will not benefit from the wealth of locate, income and asset information available from the FCR. Similarly, if a state does not store the FCR SSN, communications with other states will be hampered, particularly if other states store the FCR SSNs as their only known SSNs.

In order to maintain the integrity of the FCR SSN, states should restrict caseworkers from changing or updating the FCR Primary SSN stored on their state systems.

Great care should be taken to ensure that the best available person information is transmitted from the SCR to the FCR for SSN validation and verification purposes. The more information provided, the more likely a reliable match will be made.

It is important that both system developers and users within a state understand how SSA verifies SSNs so that states may make educated use of SSNs. The following subsections explain the routines SSA employs to verify an SSN and issues to consider when integrating FCR provided data into a state system.

### 7.2.1.1 High Group Check

The first routine used to verify an SSN is the **High Group Check**, a process SSA uses to verify whether the SSN falls within the valid range of the SSNs issued to date. Numbers that fail this routine are deemed invalid. Examples of invalid SSNs would be all zeros, all sixes, or all nines, as well as number ranges that have not yet been issued.

*What happens if a number fails the High Group Check?* SSA ignores an invalid number and attempts to identify a valid SSN using the “Alpha Search” process. The Alpha Search process checks the name and Date of Birth submitted by the state against what SSA has on their file. If a valid SSN cannot be found, the FCR stores the participant and the invalid SSN as an unverified record. SSNs that are all zeros, all sixes or all nines are not stored on the FCR as unverified, but are rejected and returned to the state. This points out how important it is for a caseworker to send as much person-identifying information as possible.

*Does this mean a state should delete SSNs on the state system that SSA rejects as invalid?* No, especially if the state is obtaining information from other locate sources on the person using the invalid SSN. Some people use the wrong SSN by mistake, but there are many reasons an invalid SSN might be used. If the state has been able to track someone by using an invalid SSN, the state may want to keep that SSN attached to the person until the invalid SSN proves of no further use. In the meantime, every effort should be made to find additional information to facilitate the identification of the person’s valid SSN through the FCR.

### 7.2.1.2 Exact SSN/Name Verification

If an SSN passes the High Group Check, SSA then attempts to do an **exact match** between what was submitted by the state and what SSA has on file. The Date of Birth and Sex Code, if submitted, are also compared. If the Sex Code does not match, but everything else matches, SSA still considers the SSN to be verified.

It is important to be aware that SSA allows **specified tolerances** with respect to name and Date of Birth matching. Refer to Chart 5-2, *SSN Verification Name Tolerances*, in the FCR IGD for the hierarchy of name tolerances that SSA allows. SSA also has established Date of Birth matching rules, which consider a match made if 1) the year of birth is an exact match, or 2) the month of birth is an exact match and the year of birth is within one year (plus or minus) of the date SSA has on file.

If there is an exact match, or the match is within the tolerances, the SSN validity code will be set to ‘V’.

*Is it possible for SSA to find a match that is not your person?* Yes, this is possible, but rare. If your person and another person have the same last name, first name that begins with the same letter and the same middle initial, and match

on Date of Birth, within the tolerances described above, SSA may identify a match that is incorrect.

***How is this possible?*** A common problem occurs when a female participant marries and changes her name but does not notify SSA of the name change. The FCR participant may match with another person on the SSA files who is known by the same name as the FCR participant's maiden name. Another possibility is the person has a twin who shares a nearly identical name and the same Date of Birth. Additionally, many times a person has a first name that was popular during a particular year and a last name that is common to a lot of the population.

***Is it possible that SSA can identify more than one verified name/SSN combination?*** Yes, this is possible. Some people have **multiple** SSNs that were legally obtained from SSA. Before automation, people sometimes went to different SSA District Offices and asked for a new SSN when they forgot their previously assigned number. They may have done this more than once. Since SSN assignment has involved computerized processes for some time, multiple valid SSNs are a diminishing problem.

***How are multiple valid SSNs maintained on the FCR?*** The FCR maintains all valid SSNs for a person. The FCR Primary SSN is returned in positions 703-711 of the FCR Person/Locate Request Acknowledgement/Error Record ('FS'). The **FCR Primary SSN** is the state's key identifier for staying in sync with the FCR. Multiple valid SSNs appear in positions 651-659 (Multiple SSN 1), 660-668 (Multiple SSN 2), and 669-677 (Multiple SSN 3). If possible, states should consider storing all valid SSNs, since any of these numbers have the potential to yield information from various locate sources. Given space restrictions, however, priority should be given to the FCR Primary SSN.

***Are multiple valid SSNs used for matching?*** For proactive matches, the FCR automatically provides matches on all valid SSNs. For a locate request, it is recommended that a state use the FCR Primary SSN, however, a state could use any valid SSN. The FCR automatically searches the NDNH and any external locate sources for possible matches on all valid SSNs (i.e., the FCR Primary SSN and valid multiple SSNs). For an FCR Query, the FCR searches only on the valid SSN(s) submitted by a state, although Additional Names may be returned.

***Are Additional SSNs submitted by states verified through SSA?***

Yes, the FCR attempts to verify all SSNs submitted with a participant's record. Additional SSNs are submitted to SSA for verification using the participant's primary name and Date of Birth. If an Additional SSN is verified through SSA, it is stored on the FCR as a verified SSN, and the state will receive proactive NDNH and FCR matches for the participant using the verified Additional SSN. If an Additional SSN is not verified through SSA, it is stored on the FCR as an unverified SSN and no proactive matching will take place on that SSN.

***What happens if the Primary SSN does not verify but an Additional SSN verifies?***

The FCR stores the verified Additional SSN as the FCR Primary SSN and notifies the state of the new status and verification of the Additional SSN in the FCR Person/Locate Request Acknowledgement Record. The state-submitted SSN is returned in the SSN field and the verified Additional SSN is returned in the FCR Primary SSN field.

***What should I do if an SSN has been incorrectly identified for my participant?***

Occasionally, an SSN is incorrectly matched for a participant. Caseworkers are encouraged to verify new or different SSNs that are identified using the automated techniques of the FCR/SSA processes. If it is determined that an SSN has been erroneously attached to a participant on the FCR, the participant should be deleted from the FCR and then added when new information is found that might yield a different SSN.

***What will be on the FCR Reconciliation file for Additional and Multiple SSNs?***

The FCR Reconciliation file allows for the return of two additional SSNs and three Multiple SSNs. The difference between an additional SSN and a multiple SSN is that the additional SSNs are supplied by the state when a participant transaction is submitted. If the additional SSNs are verified by SSA they are moved to the multiple SSN fields. Another way the multiple SSN field is populated is through the verification process. When SSA identifies a multiple SSN, it will also be moved to the multiple SSN field as well. Two indicators are supplied so that states can identify verified multiple SSNs. These two indicators, found in positions 476 and 477 of the FCR Person Reconciliation Record, which is record identifier RS, will contain either a “V” for “verified” or a “U” for “unverified” to indicate the status of the Additional SSNs 1 and 2.

### **7.2.1.3 Corrected Social Security Numbers**

If SSA cannot verify the SSN by an exact match, it then employs 89 different routines, checking for transposed digits or for the number being off by one digit. The name is matched on the first four letters of the first name and first seven letters of the last name. The date-of-birth rules employed by the exact match are followed. If SSA finds one - and only one - match, the SSN is considered **corrected** and the SSN validity code is set to ‘C’.

***What happens if SSA is not able either to find a match between the state-submitted name/SSN combination and what they have on file or correct the SSN?*** If SSA is unable to verify or correct the SSN/name combination submitted by the state, SSA employs the Enumeration Verification System (EVS) Alpha Search and the Earnings Systems Keyed Application for SSN Registration Identification (ESKARI) routines that use additional person-identifying information, if additional information is submitted. Again, this is why it is

recommended that state systems allow for the capture of as much personal identifying information as possible.

#### 7.2.1.4 EVS Alpha Search

The **EVS Alpha Search** checks the name and Date of Birth submitted by the state against what SSA has on file. This routine is used when the SSN/Name combination submitted by a state cannot be verified or corrected, or if no SSN was submitted. If this routine results in an SSN being **provided** by the FPLS, the SSN validity code will be set to **‘P’**.

*How does SSA know that the SSN belongs to the participant?* SSA notifies the FCR of a match if one, and only one, match is made based on the following criteria:

- ✓ First name has the same first four letters.
- ✓ Middle name has the same first three letters.
- ✓ Last name has the same first eight letters.
- ✓ Date of Birth matches based on SSA’s Date of Birth matching rules.

#### 7.2.1.5 ESKARI

SSA employs its ESKARI routine, if the Alpha Search routine yields more than one possible match, and if additional person information has been provided. If this routine results in identifying the SSN, the SSN validity code will be set to **‘E’**.

*How does SSA know that the right SSN is found through ESKARI?* SSA notifies the FCR of a match if one, and only one, match is made based on the following criteria:

- ✓ Name based on Alpha Search criteria.
- ✓ Date of Birth based on SSA’s Date of Birth matching rules.
- ✓ Sex code.
- ✓ State or country of birth.

*AND any one of the following combinations:*

- ✓ Father’s First Name, Father’s Last Name, and City of Birth; **OR**
- ✓ Father’s First Name, Father’s Last Name, and Mother’s Maiden Name; **OR**
- ✓ Mother’s First Name, Mother’s Maiden Name, and City of Birth; **OR**
- ✓ City of Birth, Father’s Last Name, and Mother’s Maiden Name.

*What if more than one possible match is made through ESKARI?* If the person to be identified is a non-custodial parent (NCP), putative father (PF) or custodial party (CP) in a IV-D case, a list of possible matches is forwarded to the Office of Child Support Enforcement (OCSE) to be manually reviewed (see 7.2.1.6, Requires Manual Review below). If more than one match is made for a child in a IV-D case, or any person in a non IV-D case, the FCR rejects the record.

*What if the state has not submitted ESKARI information?* States must submit the information required for the ESKARI process in order to take advantage of the

ESKARI routine. If the information is not submitted and SSA is not able to verify the name/SSN combination, the SSN submitted will be loaded onto the FCR as an unverified SSN (or rejected if the SSN submitted was all 0s, all 6s, or all 9s). Similarly, if the state did not submit an SSN, the record will be rejected with nothing stored in the FCR. For records stored with unverified SSNs, no proactive matching or locate requests will be performed. If additional ESKARI information is available later, the state should submit an FCR person change transaction to allow the FCR to try again with SSA to verify the SSN/Name combination.

***What if the state's person demographic screens do not allow for ESKARI information to be collected?*** Given the importance of a verified SSN for receiving locate, income and asset information from the FCR, the state should consider modifying intake screens to allow for ESKARI data entry. While a CP may not know the NCP's SSN, the CP may know the NCP's family information, which can lead to locating the NCP SSN through ESKARI.

***What if the ESKARI process cannot identify any possible SSNs?*** If the ESKARI process cannot identify an SSN and no SSN was submitted by the state, the record is rejected and no data for that person is stored on the FCR. If the state submitted an SSN, that person record is stored on the FCR as an unverified SSN. No proactive matching, FCR Queries or locate requests are made on unverified SSNs.

***How does the FCR distinguish in the 'FS' response record between SSNs rejected as invalid and SSNs stored on the FCR as unverified?*** If the SSN is rejected as invalid, the Acknowledgement Code on the response record will be 'REJECT' and the SSN validity code will be set to a space. (This same response is provided if no SSN was submitted and SSA could not identify an SSN.) If the SSN is stored on the FCR as unverified, the Acknowledgement Code will be 'AAAAA' and the SSN validity code will be set to a space.

#### **7.2.1.6 Requires Manual Review**

The Requires Manual Review (RMR) process is performed at OCSE and involves a person manually checking the list of possible matches that were generated via ESKARI and selecting, if possible, the SSN that seems most likely to belong to the person. If an SSN is identified using this routine, the SSN validity code will be set to 'R'.

***Does RMR always result in a match?*** No. If OCSE has low confidence in the data, no match is made and the FCR is notified to reject the record.

***How should a state interpret the reliability of a match identified via RMR?*** Since this is a manual process involving selection of the most likely SSN from multiple possibilities, states should exercise greater caution in using this SSN in automated processes.

#### **7.2.1.7 IRS-U Identification Process**

Separate from the SSA routines is the **IRS-U** identification process, which requires the NCP's name and the SSN of the spouse or ex-spouse. The IRS attempts to locate the NCP's SSN from a joint tax return. If an SSN is located using the IRS-U process, the SSN is sent to SSA for verification, and if verified, the SSN validity code will be set to 'S'.

*Are there restrictions in using or displaying SSNs provided by the IRS-U process?* No, since the SSN is sent to SSA for independent verification, states may use and display SSNs with a validity code of 'S' just as they do any SSN provided via the FCR.

*What happens if the IRS-U process cannot find the NCP's SSN?* The record is rejected by the FCR if the state did not provide an SSN, or the state-submitted SSN is stored on the FCR as unverified.

### **7.2.1.8 Additional Points to Consider Regarding SSNs**

SSNs that are verified with exact matches are most reliable. Corrected SSNs as well as SSNs located through IRS-U also are highly reliable. SSNs identified using the automated processes of Alpha Search and ESKARI should be viewed as generally reliable, while recognizing that automated identification of an SSN may have limitations. The least reliable SSNs are those identified by RMR.

State processes should be developed so that the SSN stored on the FCR does not compromise the ability of the state system to use an SSN already in the system. For example, it would not be appropriate to use the SSN identified by the FCR to overwrite the SSN of an individual for whom income withholding is in place.

SSNs provided by the FCR should be considered in relation to the data provided which identified the SSN. If an SSN has been identified by the FCR, and the state has reason to believe this is not their person's SSN, the state should delete the record from the FCR and resubmit the person record as a new add transaction with additional identifying information so that the SSN may be verified correctly. Until new information is identified, the state should not send an add transaction since the FCR will use the same routines that identified the initial incorrect SSN.

State system design should allow for multiple SSNs to be recorded for a person. Some system designs currently allow for only one SSN per person. In those systems another screen and/or set of fields should be established to store alternate SSNs along with the reporting source. This will prove particularly helpful in situations where an NCP is working under one SSN but has financial accounts under another SSN. Regardless of how the FCR SSN is stored, the SSN designated as the FCR Primary SSN must be accessible as the key to communicate with the FCR.

Some state IV-D agencies do not have ownership of the primary SSN associated with a person if that record is shared with other state agencies. The state IV-A agency, for example, may be the only agency able to input a person's primary SSN in the state's common client database. In such cases, it is still imperative that the FCR Primary SSN be stored in the statewide system. A field for the FCR SSN must be in place so that the IV-D agency can communicate with the FCR and benefit from Proactive Matches, FCR Queries and Locate Requests that are keyed off a person's FCR SSN, regardless of the SSN used by other agencies or programs.

### Questions to Consider When Automating Returned SSN Data

- ✓ Is the primary SSN returned different from the SSN submitted?
- ✓ Will the newly reported SSN be used in automatic processes or will worker intervention be required to validate the new SSN?
- ✓ Was sufficient and reliable person-identifying information provided so that the FCR-returned SSN can be considered highly reliable? Returned SSN Validity Codes will help in assessing the SSN reliability and degree of caution to be used as the new SSN is accepted:
  - V – SSN and Name combination submitted by the state was verified as an exact match by SSA within SSA's parameters.
  - S – Person data submitted identified an SSN for the person using the IRS-U SSN and IRS records. The IRS-U process returns the SSN of the person who filed a joint return with the person whose SSN was submitted. IRS-identified SSNs are then verified via SSA.
  - C – SSN submitted for this person was corrected by SSA.
  - P – SSN was not submitted, or the state-submitted SSN could not be verified, but the FCR was able to provide an SSN because additional person data submitted by the state allowed the SSN to be identified via SSA's Alpha Search.
  - E – SSN and Name combination submitted for this person could not be verified or corrected, but the additional person data provided identified an SSN for this person using ESKARI routines.
  - R – Person-Identifying data submitted identified more than one possible SSN for the person. The provided SSN was selected via the 'Requires Manual Review' process at OCSE.
  - Space – SSN provided could not be verified or there was no SSN provided and an SSN could not be identified using the information submitted. If the Acknowledgement Code for the person equals 'AAAAA', the person record has been stored on the FCR as unverified but is not available for FCR Queries, proactive matching, or locate processing. If the Acknowledgement Code equals 'REJCT' and a space appears in the SSN Validity Code, the person record has been rejected by the FCR.
- ✓ How will the automated system ensure that the FCR Primary SSN is used in all FCR communication?
- ✓ How many SSNs can be stored on the automated system? Is there a source and/or status code? Persons are occasionally identified who have multiple SSNs or for whom incorrect SSNs have been previously considered.
- ✓ Will this new number be used to initiate in-state locate efforts immediately?
- ✓ Is the returned SSN the same as the one used for Federal Offset? A person may use a different number for tax reporting than is used for other purposes, such as credit cards.

### Best Practices



Worker training, system screens, and documents, such as applications for services, should be enhanced to collect ESKARI, IRS-U and other related information. This may require coordination with the IV-A, Medicaid and foster care agencies. Capture all the ESKARI information that is available.



Make SSN Validity Codes available to caseworkers so they understand how an SSN was verified.



When the SSN for the person is unverified, and data critical to SSN verification has changed, the state system should automatically send a change transaction to provide the new information to the FCR. Have the system fields for ESKARI data monitored within your system to see if any changes have occurred. If new information is received on an unverified person, a change transaction should be sent to the FCR with the new data.



Store the FCR Primary SSN separately from the state's primary SSN if the state number is of continuing value. If no state SSN is present, populate both the FCR Primary SSN and the state's primary SSN with the FCR-provided SSN.



When adding an SSN to the child support enforcement system, build edits to ensure that the new SSN does not already exist for another person on the system.



States may find the returned FCR-to-FCR Proactive Match information useful in obtaining missing SSN data. For example, state A adds a case with a CP and children to the FCR with verified SSNs, but the NCP cannot be added to the FCR because the SSN is unknown. State B has added the same case to the FCR, but they have included a verified SSN for the NCP. When an FCR-to-FCR Proactive Match is returned to state A for the CP and children, the NCP's verified SSN from state B is included. State A can then resubmit the NCP for its case with the SSN obtained via the FCR-to-FCR Proactive Match from state B.

## 7.2.2 Individual Taxpayer Identification Numbers

The Individual Taxpayer Identification Number (ITIN) can be distinguished by a "9" in the first position followed by an "8" or "7" in the fourth position. Many legal aliens do not qualify to have an SSN, but they can obtain an ITIN from the IRS for tax reporting purposes. ITINs submitted in the SSN field fail the high group check for the FCR. However, states that store ITINs as the person identifier should not filter these numbers. Instead, states should submit the participant and the ITIN to the FCR. The ITIN will be stored as an unverified SSN until additional demographic information can be captured that may help to identify an SSN. For a definitive definition of ITINs, refer to the following website: <http://www.irs.gov/individuals/article/0,,id=96287,00.html>.

## 7.2.3 Family Violence Indicators

In addition to the need for the person record to contain a verified SSN, the return of data from the FCR also is predicated upon whether or not a Family Violence Indicator (FVI)

has been placed on a person record. In order to protect victims of family violence, the FCR does not return information to states that may result in the location of a person on whom an FVI has been set. FVIs are person-specific indicators; they are not set on an entire case. Consequently, an FVI provides a mechanism to help protect the release of locate information on victims or potential victims of family violence, while still allowing for locate information to be released on perpetrators of family violence.

Once an FVI has been set on a person by a state, no Proactive Matching, FCR Queries, or Locate Requests are processed for that person. The FCR response to query and locate requests is “Disclosure Prohibited.” This holds true whether the state requesting data set the FVI or whether an FVI was set by another state.

Unlike most state systems, the FCR stores persons multiple times, once for each case with which they are associated. The indicator is person-specific, which means it is only applied to the person submitted with an FVI; it is not propagated to other members on the case (e.g., an FVI set on a CP is not automatically propagated to children). If a state wishes to place an FVI on other persons associated with a case, they must set the indicator for each of those persons. Once an FVI is set on a person, the FCR propagates an FVI to the person in any of their other cases on the FCR. The FVI prevents the automated release of any person data, regardless of case or state. A process is in place to accommodate situations in which an FVI is overridden so that a court may obtain information. The FVI Override process is detailed in the FCR IGD.

***When should an FVI be set?*** The FVI should be set when persons meet the criteria set by the state that indicates they are victims of family violence or at risk of becoming victims of family violence. States may choose to set an FVI when the dependents of a victim of family violence also need protection, or the state determines that a CP may be located through the return of a child’s information. States should refer to AT 98-27 for guidance on setting FVIs (available at <http://www.acf.hhs.gov/programs/cse/pol/AT/1998/at-9827.htm>), or states may request a copy of *The Family Violence Indicator: The Right Steps*, a Computer Based Training, from their State Technical Support (State TS) Liaison.

***Should a state set an FVI on a person record when the FCR returns ‘Disclosure Prohibited’ in response to a locate request or FCR query?*** No. If all states that share a person set FVIs on their own participant records derived from the receipt of the FCR ‘Disclosure Prohibited’ message, those derivative FVIs might remain indefinitely on the FCR, even if the state that originally placed the FVI eventually removes the indicator. The derivative FVIs set by states would prevent proactive matching as well as responses to locate requests or FCR Queries. Some states have decided to set an internal indicator within their state systems as an alert to the existence of a family violence situation in another state. If a state decides to do so, it is imperative that those alerts are for internal state use only; they should not be sent back to FCR. Such internal alerts may help a state control information exchanges exterior to the FCR and may be removed when the state begins to

receive proactive matches for a person for whom all FVIs have been removed on the FCR.

***What records will be received for a person on whom an FVI has been set?*** An Acknowledgment Record will be received with a warning code indicating that “Disclosure is Prohibited” when the person is added or a change is made to an existing person. Also, an Acknowledgment Record will be received with a warning code indicating that “Disclosure is Prohibited” when a locate request or FCR query for a person with an FVI indicator is returned. When a state requests an FCR reconciliation file, all of the state’s submitted information will be returned, including those records with FVIs. Using the returned Family Violence code (position 38-39) along with the LE001 warning code in the FCR Reconciliation file can help determine whether your state or another state set the FV indicator on a participant.

***What records will not be returned for a person on whom an FVI has been set?*** States will not receive any proactive matches, including those generated by a deleted person or closed case transaction from the NDNH or FCR; FCR Queries; NDNH locate requests; external locate requests including the State Verification and Exchange System (SVES) matches; Multi-State Financial Institution Data Matching (MSFIDM) or the Defense Manpower Data Center (DMDC) medical coverage matches.

## Best Practices



When flagging CPs for family violence, consider setting an automatic flag on the children so they are protected as well. Such flags on child records should carry a distinctive code within the state system so that it is clear that the child was flagged solely because of association with the CP, and not as a direct victim. This should facilitate removal of the flag if children move or become associated with other child support cases.



Have a process in place to periodically review individual circumstances that caused the family violence indicator to be set on a person. Remove the indicator as needed. The FV indicator prevents the release of any FPLS information on participants.

### 7.2.4 Addresses

Address information is handled in various ways according to state policies, practices, and the level of automation employed by the state. In highly automated state systems, the address received from the FPLS is first compared to addresses on the state system to determine whether the address already exists, either as current or historical data. If so, the address is not processed. If the address is new, its probable age is assessed. The following subsection helps states assess probable age. As a general rule, states should consider addresses returned from the NDNH as verified.

Age of Address Data by Record Type				
Record Type	Record Identifier	Response Agency Code	NDNH Match Type	Age of Data
W-4	FN	H99	N – NDNH-to-FCR Proactive Match response record for new information added to the NDNH	Information is less than 30 days old.
			P – FCR-to-NDNH Proactive Match for new person or change to an existing person on the FCR, or a change in case type on the FCR from non IV-D to IV-D	Data may be current or up to six months old.
			L – NDNH locate request response	Data may be current or up to one year old.
QW	FN	H98	N – NDNH-to-FCR Proactive Match response record for new information added to the NDNH	Information is from the most recently received reporting quarter. Federal agency information is less than 30 days old from end of the reported quarter. Data may be up to four months old from the end of the reported quarter for other employers. States must look at the reporting quarter to ensure the SWA or employer did not report out of sequence.
			P – FCR-to-NDNH Proactive Match for new person or change to an existing person on the FCR, or a change in case type on the FCR from non IV-D to IV-D	The quarter and year is returned in the record. Data may be current or up to 12 months old. States must look at the reporting quarter to ensure the SWA or employer did not report out of sequence.
			L – NDNH locate request response	The quarter and year is returned in the record. Data may be current or up to 12 months old.
UI	FN	H97	N – NDNH-to-FCR Proactive Match response record for new information added to the NDNH	Information is from most recently received quarter. Data may be current or up to four months old
			P – FCR-to-NDNH Proactive Match for new person or change to an existing person on the FCR, or a change in case type on the FCR from non IV-D to IV-D	The quarter and year is returned in the record. Data may be current or up to 12 months old.
			L – NDNH locate request response	The quarter and year is returned in the record. Data may be current or up to 12 months old.
SSA	FF	E01		Date of address is provided.
DOD	FF	A01		Date of address is provided.
FBI	FF	A02		Date of address is provided.
IRS	FF	C01		Date of address is provided.
VA	FF	F01		Date of address is provided.
MSFIDM	MC			If Account Closed Indicator indicates that the account is open, the data should be current as of the MSFI response date.
SVES Title II	FK	E05		May derive date of address from Date of Current Title II Entitlement field.
SVES Title XVI	FK	E06		May derive the date of address from the record Establishment Date field.
SVES Prison Data	FK	E07		May derive the date of address from the report date.

### 7.2.4.1 Assessing Age of FPLS Addresses

In order to determine the age of an address, states should consider the type of response that is returned. For example, an NDNH-to-FCR Proactive Match that is triggered from new W-4 information, transmitted from the IV-D agency or the State Workforce Agency (SWA), should be considered to be less than 30 days old and given a higher priority. The following table explains the various locate sources that return addresses through the FPLS and how to make the best determination as to the age of the address.

If no current address exists, some states accept a new address into their system regardless of age. If a current address already exists in the state system, the new address is coded for its source (e.g., 'NDNH') and dated.

In some state systems, caseworkers are not notified if the new address is likely to be older than the address already on the system. The address is stored on the system since it may be of value to future locate efforts, if needed. Staff training becomes critical so that workers are aware of the rationale applied in generating worker notification.

Caseworkers also should be aware that additional locate information may be available within the automated system in the event it is needed for an NCP who stops paying or for whom other enforcement remedies are indicated.

Many states have discovered that storing the source of address information has short-term and long-term benefits for their program. Source information helps in the assessment of age and reliability of data. Management reports may tap the source of data in identifying effective information sources and possible impact on collections. Retaining source information and being able to link the source to results is important in determining program effectiveness and developing outcome measurements.

The employee record in a W-4 Locate Response is suppressed when the Employee Address is blank. States indicate that they find no use for an employee record when no employee address is included.

#### **7.2.4.2 Custodial Party (CP) Address Considerations**

When a new CP address is received from the FPLS, states may consider storing the new address as backup information rather than overwriting existing CP address information. CPs are normally diligent about letting the IV-D agency know about address changes. But in those instances where the CP fails to notify the agency, new address information can be reviewed as the worker researches the case for payment resolution. An alternative to this approach allows for worker notification that new CP address information has been received by the state system when checks are being held, in order that undistributed collections can be resolved.

#### **7.2.4.3 Employer Address Considerations**

Since different employer addresses may serve different purposes, states should design their systems to allow more than one address per employer record. Some state systems contain a distinct field for each type of address, e.g., corporate address, payroll address, and work site. A distinct field for the work site address is helpful for service-of-process. Some state systems add sequence numbers as new addresses are identified for each employer. States should consider adding an end date field to an address to indicate when they know an address is no longer valid. Incoming addresses can be matched to end-dated addresses to prevent wasted time and resources searching known bad addresses.

It is important that states make optimal use of employer address information returned from the NDNH. Employers have been told through OCSE outreach efforts that the Employer Optional Address field that they submit on new hire reports should be the address to which income-withholding notices should be sent. States should duplicate this outreach effort to improve data consistency with new hire reporting.

Similarly, the QW input records received from states may include the Employer Optional Address field as the address to which income-withholding notices should be sent. Ongoing discussions are conducted at the Federal level to educate SWAs on the most effective reporting of address fields. These efforts should also be duplicated at the state level to facilitate data consistency and maximize child support collection efforts.

Consequently, the Employer Optional Address field, if available, is the address that should be recognized automatically by state systems as the address to be used for income-withholding. Not all employers within a state, or all SWAs, specify the income-withholding address in the Employer Optional Address field. Since the IRS W-4 form has only one employer address field, employers using that form only provide one address. In such cases the address supplied should be used for income withholding. However, state systems should be programmed so that both the employer address and the optional address are captured, when provided through the NDNH. For state systems that can store only one address for an employer, the optional address should be stored when provided.

Federal agencies have defined the addresses to which income-withholding notices should be sent. These addresses appear in the Employer Optional Address field. They also are posted at [http://www.acf.hhs.gov/programs/cse/newhire/contacts/iw\\_fedcontacts.htm](http://www.acf.hhs.gov/programs/cse/newhire/contacts/iw_fedcontacts.htm) on the OCSE web site.

#### **7.2.4.4 Department of Defense (DOD) Address Considerations**

The Department of Defense (DOD) has worked extensively with OCSE to ensure that address data will be consistently provided to the states. In the W-4 record, DOD provides an income-withholding address. In the QW record DOD provides the quarterly earnings and the income withholding address. The Defense Finance and Accounting Service (DFAS) Cleveland Garnishment Center appears as the Employer Optional address for all branches of the DOD whether civilian, active duty, reservists, or retirees. This Cleveland address should always be used for income-withholding notices:

Assistant General Counsel for Garnishment  
Operations, Defense and Accounting Service,  
Cleveland Center - Code L (DFAS-CL/L),  
P.O. Box 998002  
Cleveland, OH 44199-8002  
216-522-5301

Effective September 2006, the DFAS Garnishment Center in Cleveland appears as the Employer Address 1 for W4 and QW records for military members. This change was

made because many income withholding orders (IWOs) were being misdirected to the DFAS Pay Centers. The DFAS Pay Centers no longer appear as the Employer first address. This change applies to active military, reservists and retirees. The pay center locations are:

Denver – Air Force,  
Indianapolis – Army,  
Kansas City – Marines,  
Cleveland – Navy,  
Cleveland - retired military,  
Topeka - Coast Guard

Pay Center addresses should be used for requesting wage histories more than one year old.

Note: If only the past year’s wage history is needed, an NDNH locate request should be submitted via the FCR.

The DFAS Pay Centers cannot process income-withholding notices nor is the Cleveland Garnishment Center equipped to handle employment questions. Mail misdirected through incorrect use of DOD addresses results in backlogs at the DFAS centers with DFAS having to redirect mail to the proper address. The end result is a critical loss of time for child support agencies.

For DOD civilian employees, Employer Address 1 (DOD Human Resources Offices) and Employer Address 3 (DFAS Garnishment Center in Cleveland) continue to be provided with no change.

Medical support notices for civilian employees should be sent to the appropriate Human Resources (HR) Office of the employing agency. DFAS has reported that there are 77 HR Offices that serve civilian employees of the DOD.

The following OCSE web site provides more details about the address to use for medical support:

[http://www.acf.hhs.gov/programs/cse/newhire/contacts/ms\\_fedcontacts.pdf](http://www.acf.hhs.gov/programs/cse/newhire/contacts/ms_fedcontacts.pdf).

DMDC no longer responds to medical support notices. States should refer to the new section “How the FCR Can Help with Medical Coverage Information 7.3.3.”

In lieu of sending an income-withholding notice to the DFAS Garnishment Center, DOD has requested that states utilize its DFAS Kids First project. DFAS Kids First allows states to submit income-withholding orders electronically to DFAS. There are two processing options for state IV-D agencies: an Internet web-based process for case-by-case processing, or a batch file process in which orders are submitted in batch directly from the state system.

The development of the web input screens as well as the batch file layout was based on the Order/Notice to Withhold Income for Child Support that states are required to use by

law. Standardization supports easy implementation so DFAS selected a format with which states are familiar.

For the web-based process, any authorized state child support caseworker with a PC and Internet connection can log onto the server to submit new or modified income-withholding orders one case at a time. Caseworkers also may use the web-based process to view the status of previously submitted orders. There is no cost to the states to use this web-based process.

The batch file process allows states to submit all income-withholding notices on the state system for DOD in batch to DFAS. Through minimal programming efforts at the state level, a state can generate a batch file in a standard file format and submit the file through the Direct Frame Relay Network used by CSENet to DFAS.

To sign up for Kids First, states may contact Larry Sharpley at (216) 522-5435, extension 41677, or Rod Winn at (216) 522-5118. The phone number for the CSENet Technical Support Help Desk that supports Kids First is (800) 258-2736. State system specialists who have already implemented these processes have offered to share best practices for implementation of this process and using the data. Contact your State Technical Support Liaison for more information. Information about the Kids First program can be obtained at: <http://www.acf.hhs.gov/programs/cse/newhire/csenet/dfas/dfas.htm>.

#### **7.2.4.5 Address Scrubbing**

The FCR performs address scrubbing using an off-the-shelf software standardization product. In an effort to increase the likelihood of address matches, many states also use off-the-shelf address standardization software. These states process all addresses through the software before adding any address to the state system and before any address comparisons are made.

States have the option to receive NDNH Proactive Match records with the submitted address, even when the address does not pass address standardization software routines. States indicated that these records could provide additional information from which leads may develop that might help improve their locate and employment information. Refer to Section 7.4.14 for a complete list of the response options available to states.

Because some states do not wish to receive addresses that do not pass address standardization edits, the FCR gives states the option to filter address records that fail address scrubbing. In such an instance, the address will be returned with an Address Scrubbing Code that indicates up to two of the reasons why the address failed.

To receive proactive match records that have failed the address scrubbing routines, a state must complete the “Request to Receive NDNH Proactive Match Records that Fail Address Scrubbing Form”, located in the Interface Guidance Document (IGD) Appendix L, and submit it to the following address:

Division of Federal Systems, Office of Child Support Enforcement  
ATTN: Joan O'Connor  
Administration for Children and Families  
Aerospace Building – 2nd Floor  
370 L'Enfant Promenade, SW  
Washington, DC 20447

Addresses that fail the address scrubbing routine on proactive matches will be suppressed unless a state submits a completed "Request to Receive NDNH Proactive Match Records that Fail Address Scrubbing Form." However, addresses that fail to pass address standardization software edits will continue to be sent to all states on Locate Requests.

### Questions to Consider When Automating Returned Person Addresses

- ✓ Did the worker request address information?
- ✓ Is this CP or NCP/PF address information?
- ✓ Is person location needed? When was location previously verified?
- ✓ Are notices or checks being held awaiting a new address?
- ✓ Will Service-of-Process be initiated?
- ✓ Is the address being reported the same as the current address in the record?
- ✓ What should be done if the address being reported is an historical address already in the record?
- ✓ What sources will be considered as verification of the address? W-4 information is so recent and reliable that many states consider addresses reported through this source as 'verified'. QW addresses, in lieu of W-4 data or another "active" locate source, also should be considered verified and therefore used to trigger income-withholding notices. This is particularly true with respect to Federal agencies.
- ✓ How much time should elapse from the time an automated notice is sent to withhold income or verify the address until the worker is advised that there has been no response to the notice?
- ✓ Has the state elected to receive addresses that fail address scrubbing routines?

## Best Practices



Consider automating a locate request when CP or NCP addresses become invalid. This is useful for CPs with undeliverable checks. Use the FCR to make an NDNH locate request for CP locates to help address the problem of undistributed collections.



Retain source information to aid in creating a hierarchy of locate sources. This hierarchy can be used to generate rules or processes about which sources should automatically update the system and which should only be stored for manual review. For example, addresses from W-4 data are considered newer and more reliable than addresses from IRS-1099 locate response records.

## 7.2.5 Employer Databases

States have made great strides in developing and maintaining employer databases in an effort to manage employer addresses and maximize efficient use of system space. For those states that do not have an employer database, most store the employer information in the person's demographic record. But this redundancy in storing employer data has proven difficult to manage. This section contains feedback obtained from states that specifically addressed issues related to maintaining an employer database.

States relayed that when creating their employer databases, they considered the following key areas: data integrity, data duplication, database keys, controlling access, and third-party service provider addresses. The following information highlights each of the key areas and outlines state best practices for developing and maintaining efficiency within an employer database.

### **7.2.5.1 Data Integrity**

As previously mentioned in the discussion of addresses, states use numerous processing methods to ensure data integrity and increase address matches. Many states use commercial off-the-shelf software to clean up and format addresses before storing addresses in their databases or attempting to match incoming addresses with existing system addresses. Other states employ their own in-house scrubbing routines.

In addition to using address-scrubbing software, states perform periodic database clean-ups to eliminate duplicate employer records. For example, some states regularly eliminate employer records that are no longer linked to NCPs and/or income-withholding orders. Some states also went through a process when initially creating their employer database to remove unnecessary records and standardize employer names and addresses. Although tedious, the initial and periodic clean up efforts have helped states maintain an accurate, usable database.

### **7.2.5.2 Data Duplication**

Duplication of employers on the employer database is a pervasive problem among states. Several states have overcome this obstacle by using matching routines to prevent automatic duplication of employer records, and by controlling access to prevent manual duplication. For instance, some states first match on the State Employer Identification Number (SEIN) and then the FEIN to avoid duplicating employers on the database.

Some states attempt to find the employer on their system by either matching on the FEIN and address, or a standardized employer name and address. If they are unable to find a match with either of these criteria, they attempt the match based on a standardized address alone. If they find a match on the address alone, they determine whether the address is for a payroll provider or an Unemployment Insurance (UI) Claims Provider rather than an employer address. If no match is found, they add the employer to their employer table and link the employer information to the person.

Another solution for avoiding duplicates in the database is to use routines to strip out special characters such as dashes, periods, ampersands and number symbols. Others also

strip out unneeded words such as “and,” “Inc.,” “Corp.,” and “the.” These measures help improve the chances for more matches and greater accuracy.

### **7.2.5.3 Database Key**

Several states have systems that generate a unique identification number for each employer record in their employer database. States use this unique identification number as the key to the record, so they may store multiple employers for one FEIN or SEIN. This system is useful when the FEIN or SEIN is not known, may have been used erroneously by another employer, or does not exist. This is particularly helpful for those Federal agencies that do not have an FEIN, but are assigned a FIPS code.

### **7.2.5.4 Controlling Access**

Access to the employer database should be limited in order to reduce the number of duplicate employer records in the system. In many states, access to the employer database is restricted to designated workers. These workers update the employer information, based on requests from line staff, and research automated entries that contain limited or incorrect information. They also have quality control processes in place to make sure that manual entries are complete and accurate.

### **7.2.5.5 Third-party Service Providers**

Receiving a third-party service provider’s address with the valid employer FEIN for the actual employer is often an issue in the receipt of employment data. Many states have programmed their systems to perform an internal check to obtain the employer’s address from the database using the indicated FEIN. In other instances, states may send income-withholding notices to the third-party service provider, who in turn forwards them to the correct employer or returns them to the child support agency. The latter action is problematic due to the loss of valuable time in the forwarding by the third-party provider or the redirecting of returned mail by the IV-D agency. This process tends to break down if the third-party provider begins to ignore or discard income-withholding notices.

The problem with third-party service providers is particularly acute with respect to QW data received from the NDNH. Employers categorized by state law as “covered employment” are generally required to submit wage records for their employees to the SWA. The SWA maintains a wage record database that is accessed when someone files a claim for unemployment benefits so that his/her wages may be confirmed. Many employers choose private firms called UI Claims Providers to perform this function for them. Often UI Claims Providers supply the employer’s FEIN, but their own addresses. The SWAs store the UI Claims Providers address with the FEIN in their wage record database and pass the information to the NDNH. Some states experience problems when they send notices using the FEIN and employer address provided by the NDNH. The UI Claims Providers may not forward the notices to the employer. The notices may be returned or they may be ignored.

OCSE has created an Employer Income-withholding Addresses CD to help states determine the correct address for employers whose wage records are reported via a UI Claims Provider. This CD provides information obtained from the UI Claims Providers' own databases, which contain their clients' FEINs, names and addresses. Using this CD, a state can modify its programs to retrieve the information from the CD. By loading the information to a table and searching the table for the FEIN, the state system can replace the UI Claims Provider address with the correct employer's address. The CD contains the information in several formats to accommodate various ways states may want to use the data. The file names and record formats are included with the CD in order for the states to use the format that works best for their particular situation. To obtain a copy of the Employer Income-withholding Addresses CD, states may contact their FCR state TS Liaison (refer to the OCSE web site at: <http://www.acf.hhs.gov/programs/cse/newhire/contacts/fcrtscontacts.htm>).

One state reported that they have created a file of addresses for all known third-party service providers. New employment records are matched against this file to check whether the employer address provided is that of a third-party service provider. Non-matches are sent to workers for research and appropriate action.

## 7.2.6 Income

The NDNH and external locate sources provide a vast amount of income information for use in location, income withholding, asset attachment, and order modification. QW data, obtained using an NDNH locate request, returns the wage history for a particular employer or combination of employers from the past four quarters of reported data. W-4 data returns reliable new employment information, though earning amounts are not included. UI records contain the amount paid to a claimant and claimant address information.

With state policies and procedures as a guide, design and application discussions should be directed toward automating income-withholding and income-verification processes as much as possible. If an order is present, it is much more efficient to send an automatic income-withholding notice, rather than first sending an employment verification. Employers have repeatedly reported that they would prefer a one-step process to the two steps involved in responding to both employment verification and an income-withholding notice. A general rule should be that, unless state law dictates otherwise, employment verifications should not be sent in situations where an income-withholding notice can be served.

While age of the data can be a concern, the source of the income information provides insight into the age of the data. For example, W-4 information is more recent than QW information. W-4 data is usually no more than 30 days old. QW data received from Federal agencies generally is more recent than QW data received from states. QW wages are reported by Federal agencies the first month of the quarter after the wages are earned.

### **7.2.6.1 Quarterly Wage (QW) Data Considerations**

When processing QW responses, states should remember that SWAs do not always send enough name information for the FPLS to verify the name and SSN combination. When the FPLS cannot verify the name and SSN provided, the information is returned to the states as “nonverifiable”. However, SSNs that are provided without name data historically have been found to be 90% accurate.

### **7.2.6.2 DOD QW and W-4 Data Considerations**

There are some important factors concerning DOD QW and W-4 data that states need to take into consideration. First, DOD does not send W-4s when reservists are called up to active duty. If states are not using NDNH QW data, they may not be aware of an NCP’s income from DOD. Oftentimes, reservists’ regular employers may not supplement their pay once they are called to active duty. Consequently, there may no longer be any income to withhold by the regular employer and child support payments may cease. Automated use of QW data assists states in maintaining the flow of monetary support to children.

A second point for states to consider is that they may receive multiple W-4 and QW records from the NDNH for the same DOD employee. The QW records may have a different FEIN than the W-4 records. Multiple W-4 and QW records may be received because a person could be both a DOD civil service employee and a reservist or retiree. In fact, there are a considerable number of people working for DOD in both capacities.

DOD QW response records include quarterly wages for active duty, civilian, reserve personnel, or retired military members. A code “P - Pension/Retired Employee” designates QW response records for personnel retired from the military or the Coast Guard. DOD submits pension payments on its retired military personnel as a QW submission because pensions are considered “reduced pay for reduced services.”

When states receive the first W-4 or QW match, they should send an income-withholding order (IWO) to the Defense Financing and Accounting Service (DFAS) center in Cleveland for garnishment. Garnishments will be applied to all pay available at that time. When states receive an additional W-4 or QW record under a different DOD FEIN, and the full amount of the order is not being recovered, states should send another IWO to DFAS. The second IWO should be for the full amount of support. The DFAS Garnishment Center will review the subsequent IWO to determine whether additional withholdings need to be taken against the additional pay. If so, the garnishment will be increased until it meets the amount specified in the IWO or the maximum garnishment allowed, whichever is lower. DFAS will garnish all applicable DOD pay that the person is receiving.

Income-withholding notices may be triggered automatically from the state system to the DFAS Garnishment Center in Cleveland, Ohio. States should take advantage of the DFAS Kids First system to send IWOs electronically to DFAS. Reference should be

made to 7.2.3.5, DOD Address Considerations, for information on using the DFAS Kids First project for electronic submission of income-withholding notices.

### **7.2.6.3 Unemployment Claims Data Considerations**

UI records contain the amount paid to a claimant, if actual benefits were paid during the quarter. However, a zero amount paid could be indicative of a pending claim or an allowed claim against which a claimant did not obtain benefits during that particular quarter. Since claimants have a benefit year in which to file, there is the potential to have income withheld from future weeks claimed. UI agencies may hold an income-withholding notice and apply it when actual benefits are paid.

### **7.2.6.4 Improving NDNH Data Quality**

The W-4, QW and UI data that states receive proactively from the NDNH provides a wealth of information that allows state systems to process cases in an automated manner rather than through worker intervention. Additionally, the NDNH has provided states with data that has been instrumental in increasing collections, locating persons and assets, and in establishing paternity and child support orders. Since states depend on the information to be reliable, accurate, and complete, OCSE is continually looking for ways to improve the quality of the NDNH data. Below is a summary of changes made in an effort to improve the quality and increase the usage of the NDNH data.

#### ***QW and UI File Suspension***

In 2003, the NDNH was modified to suspend a QW or UI file when the number of duplicate records exceeds ten percent of the total file. In order to determine whether records in a file are duplicates, the records of the received file are sampled methodically and then compared with the current and previous quarters in the NDNH for matching records. A QW record in a submitted file duplicates a QW record in the NDNH when the content of the following fields in both records is identical:

- Submitting State/Agency code
- Employee Name
- Employee Wage Amount
- Reporting Period
- Federal Employer Identification Number (FEIN)
- Employee SSN

A UI record in a submitted file duplicates a UI record in the NDNH when the content of the following fields in both records is identical:

- Claimant SSN
- Transmitter State Code
- Claimant Name
- Benefit Amount
- Reporting Period

This routine applies to all QW files submitted by states and Federal agencies, and to all UI files. Once a file is suspended, the submitter is contacted about the content. Based on the severity of duplication, the submitter can have the incorrect file dropped and resubmit a corrected file or request that the suspended file be processed as received.

***First and Last Name Swap for SSNs that are Not Verified***

Additionally, the NDNH was modified to swap the First Name and Last Name associated with SSNs submitted on QW and W-4 records that are not initially verified. The “swapped name” record is resubmitted for verification. Those SSNs that are verified with this process are returned to the submitting state with warning code 0004. If the swapped name and SSN do not verify, then the originally submitted name and SSN are returned with an error code 0001.

***Pre-Processing Edits of Volume of Records and QW and UI Benefit Amounts***

For each state and Federal agency, a minimum and maximum volume of records to be received has been established, based on previous submissions. If a submission is received with too few or too many records, the file is suspended and the submitter is contacted. If the volume of records received is determined to be correct, the file will be processed and the expected minimum/maximum volume for the submitter may be adjusted.

Additionally, the wage amount on each QW record is evaluated to determine if the wage amount is less than \$501. The number and percentage of wages under \$501 are evaluated against a pre-set threshold. If the file contains excessive amounts of records with wages under \$501, the file is suspended and the submitter is contacted. If the wages are determined to be correct, the file will be processed.

The edits for excessively high wage amounts and potential default values will result in an internal error report being generated, but not in suspension of the file. The NDNH Technical Support Team will review the reports and contact the submitter.

The wage amount on each QW record is evaluated to determine if the wage amount is \$10 million or greater, or whether amounts are expressed in default values (e.g., all 9’s in the dollar amount). If the number of high wage amounts exceeds an established limit, the records with excessively high wage amounts are analyzed to determine if there is a submission issue. If the wage amounts appear erroneous, the submitter is contacted.

Like QW wage amounts, the benefit amount on each UI record is evaluated to determine if the benefit amount is greater than \$25,000. The number and percentage of benefit amounts over \$25,000 are evaluated against a pre-set threshold. If the file contains excessive amounts of records with benefit amounts over \$25,000, the file is suspended and the submitter is contacted. If the benefit amounts are determined to be correct, the file will be processed.

***Warning for Use of Consecutive Nines in the Wage Amount Field***

At the same time, the NDNH was modified to edit incoming QW records for Wage Amounts that are all nines (that is, containing 3 or more nines, e.g., 999 or 99999). The NDNH will accept the record, but returns a warning code of 0035 to the submitter. This

warning code is suppressible; submitters may notify the NDNH that they do not want to receive the warning.

### ***Retrieval of Employer Address Information for Federal Agencies***

Also, the NDNH was modified to retrieve employer address information for a Federal agency that submits a FIPS code instead of an FEIN. Previously, W-4 and QW proactive matches or locates returned from the NDNH did not contain employer address information associated with a FIPS code.

<b>Questions to Consider When Automating Reported Income Information</b>	
✓	Is this person under an order to support, so that income withholding can be initiated, or will earnings be used to calculate guidelines, requiring that income be verified?
✓	Is income withholding ordered/authorized?
✓	If the employment information concerns a PF, is the address information new or already known to the state?
✓	Will the income source accept a withholding notice (e.g., employer vs. another state's UI)?
✓	Was the information requested or received proactively?
✓	Has sufficient information been returned to automatically send the withholding notice, or is additional verification in order? Should a worker be advised to do additional research, or will automated notices provide a good first step in obtaining needed information?
✓	What is the date of the income? Has this income been previously verified?
✓	How old/reliable is the employment data? Does state policy require that employment be verified before sending a withholding notice?
✓	Is the NCP currently paying through income withholding or another means? If wages are currently verified and income-withholding payments are currently being made, the information might be stored for future reference.
✓	Is this a second job? Some systems allow for the designation of the primary job. While some employment information, such as NDNH data, may be considered as verified, incoming employment information should not automatically overwrite current employment data.
✓	Is withholding allowed for the debts owed on the order?
✓	Is this an interstate initiating case? Should the worker be advised of the income so that appropriate action can be taken and notification sent to the responding state? Is it possible for the initiating state to automatically send a direct income-withholding notice and send automatic notification to the responding state?

## **Best Practices**



The NDNH-to-FCR Proactive Match response, especially W-4 data, is current data and should be given a high priority for use. States should consider W-4 data to be verified and reliable for automatic generation of income-withholding notices. QW data also should be used for automated income withholding when more recent employment data does not exist.



For tracking and worker alerts, consider including source codes for the various responses (W-4, UI, QW) since the age of the information is different. An indication of whether the matched data came from a proactive match or a locate request will provide a useful measurement tool and will aid in prioritizing the processing of returned data.



Consider implementing a web site where employers can communicate with the child support enforcement system to provide an end date of employment and verify wages and medical support. Selected information added to the web site may automatically update the statewide system.



Designate an email address where employers can direct questions. States using this approach find that employers' participation is boosted when states are consistently able to respond within one business day.



Create a dedicated group of people within your state to work with employers on income-withholding issues. This may increase the number of income-withholding notices honored, decrease error rates and maximize collections. Additionally, the personal relationships that are built with employers will improve communication and employer compliance.



Program the state system to allow for sending income-withholding notices to multiple employers for one person. While it may seem that this could result in withholding more support than is owed, states report that the NCP is able to work with employers to ensure withholding is properly applied in those situations where there is more than one simultaneous source of income.



Create an employer table within the state system and develop edits to insure the information is complete and accurate prior to adding it to your system. States should edit for a valid address that will pass address scrubbing software routines and that has not previously been loaded to the system. An address verification indicator may be helpful in automated processing. Authorize a limited number of users to update the employer table.



Some states use QW information to review minimum support orders to determine whether the NCP's earnings have increased. In TANF cases, when income is reported that exceeds established thresholds, the caseworker is prompted to initiate review and adjustment actions to determine whether an increase in support is appropriate.



To obtain pay data for civilian DOD employees, DFAS recommends that child support workers access wage information from TALX Work Number at 1 (800) 660-3399 or [www.theworknumber.com/socialservices](http://www.theworknumber.com/socialservices). The Work Number offers both a free service and an enhanced paid service for employment and wage verification. Responses are sent by fax within five business days, for states that have registered for the free service. States that pay for the service receive online responses immediately or fax responses within one hour (if you have called the 800 number). With the paid service, states may search The Work Number database with a parent's Social Security number; states are not restricted to receiving information just from a known employer.



States that have opted to suppress NDNH Proactive Matches that contain addresses that fail address standardization edits should consider sending an NDNH locate request when all other locate efforts have failed. An NDNH locate request will return all

address information as submitted to the NDNH, including those addresses that failed the address standardization edits. This unedited information, while not validated for postal delivery, may prove beneficial in obtaining locate and employment information.

## **7.2.7 Assets**

In addition to the wealth of SSN identifying data, address and employment data, the FCR provides asset information of potential value in reducing arrears as well as providing pointers to NCP location to assist with collecting current support. The following subsections address Multi-State Financial Institution Data Match (MSFIDM) and the temporarily suspended Project IRS-1099 data.

### **7.2.7.1 MSFIDM**

OCSE assists states in conducting matches with multi-state financial institutions (MSFIs) using the Federal Offset file. All states signed a certification addendum that allows OCSE to act on their behalf to enter into agreements with financial institutions that do business in two or more states. Multi-state financial institution data matches are conducted each calendar quarter and returned to states via the FCR. On a semi-annual basis, OCSE provides states a list of financial institutions that have opted to participate at the Federal level.

The primary goal of MSFIDM is to increase collections of delinquent child support. In addition to providing the financial account information, MSFIDM matches also provide address information for delinquent obligors. States have developed unique processes and edits for using the data based on their state policies and procedures. Upon implementation of MSFIDM, most states were cautious and sent the data to their caseworkers for review and manual follow-up. As states became more confident with the process and the integrity of the data, they looked for ways to improve data processing. To date, states demonstrating the highest FIDM collections have either automated or centralized the freeze-and-seize process within their state with staff dedicated to supporting the process.

States that have the least amount of worker intervention typically yield greater collections as more freeze-and-seize actions are generated. Collectively, financial institutions have expressed their desire for immediate freeze-and-seize actions rather than having to handle telephone calls or additional pieces of mail that inquire about account balances. Some states are working with financial institutions to develop automated processes to initiate freeze-and-seize actions electronically. Financial institutions, in response, will send seized assets to the states electronically.

As a backup for states unable to automate processing of MSFIDM data, a program was developed by OCSE to allow states to produce an Excel spreadsheet containing the matched data. This program is available on the FPLS Tool Kit, which is available upon request from OCSE. Requests can be directed to the FCR state TS Liaison (refer to the OCSE web site at <http://www.acf.hhs.gov/programs/cse/newhire/contacts/fcrtscontacts.htm>).

On May 10, 2002, a modification was made to the MSFIDM record layout that provides states with a code to indicate whether a matched account is open or closed. This enhancement to the record layout was made in response to state feedback concerning the number of accounts being matched with zero balances. MSFIs use their customer service database, which includes both open and closed accounts; consequently, both types of accounts are matched. The new indicator will enable states to omit closed accounts from automated freeze and seize processes. The address information on these closed accounts, however, should still be reviewed to determine whether the information might be beneficial in locating the NCP.

The matched account status code is in position 446 of the FCR MSFIDM Response Record ('MC'). The valid values are:

- 0 – matched account open at the time of the MSFI match
- 1 – matched account closed at the time of the MSFI match
- 2 – MSFI did not report the status of the matched account

Since this enhancement was negotiated with the financial institutions before implementation, it is anticipated that the status of the account will be provided on most of the returned data. The reduction in the number of phone calls and mail inquiries also provides an incentive for the financial institutions to make use of this new field.

## Best Practices



For MSFIDM responses, create a bank table similar to an employer table to store addresses for financial institutions. Within this table, flag those financial institutions that will accept direct levies. This allows more automatic levies to be generated without worker intervention.



States should store the MSFIDM person address and source of information. Even when a zero account balance is reported, the MSFIDM address may be used for locate purposes.

### 7.2.7.2 Project 1099

OCSE's Project 1099 was a cooperative effort involving state IV-D agencies, OCSE and the IRS. The FCR interfaces with Project 1099 to assist states in their efforts to locate CPs, NCPs, PFs, and their assets for child support purposes and to increase collections. However, as of March 2006, OCSE stopped processing IRS-1099 Locate Requests that were received by the FCR. Pending IRS-1099 Locate Requests that were received prior to March 31, 2006 were returned to states in an FCR IRS-1099 Response Record (Record Identifier = FH) with a value of '20' in the "IRS Match Code" field (positions 69-70), unless there is an FV Indicator set, in which case code '39' will be returned in the "IRS Match Code" field.

Since March 31, 2006, the FCR has been rejecting all incoming IRS-1099 Locate Requests and returning them to submitters with an error code of TE024. The FCR will continue to do so until further notice.

At this time, OCSE does not project a date when the processing of IRS-1099 Locate Requests will resume.

Since the inception of MSFIDM, the relevancy of Project 1099 data has been reassessed by states. Previously, states considered IRS-1099 information, while old, to be beneficial and used the information for collection or location purposes. Currently, MSFIDM data provides much more recent asset information and the NDNH provides more recent address data.

<b>Questions to Consider When Automating Returned Asset Information</b>
<ul style="list-style-type: none"><li>✓ Is the state already aware of the financial information?</li><li>✓ Does the account status code indicate that the account is open?</li><li>✓ Have state thresholds for seizure been met?</li><li>✓ Are there joint account holders for the matched financial account?</li><li>✓ Is income withholding ordered/authorized?</li><li>✓ Is withholding allowed for the debts owed on the order?</li><li>✓ Will the financial institution accept direct freeze and seize actions from your state?</li><li>✓ Who will receive notices and what is the timing of notices?</li><li>✓ Will another state be needed to assist in seizure?</li><li>✓ Is the NCP in locate status?</li><li>✓ Is the NCP the primary account holder and does the address information apply to the NCP? If not, could the address still be of value to locate the NCP?</li><li>✓ Has this income been previously verified? If not, can it be independently verified?</li></ul>

### **7.2.8 Worker Alerts**

As automated systems mature, it is becoming more evident that the capabilities of automation will play a much larger role in moving cases through routine processing of income and address information. States' approaches are continually evolving as to whether an automated response is indicated, whether the information should only be stored on the system, or whether caseworker action is required.

As experience with automating required processing increases, states are finding that caseworker intervention is needed only in a limited number of circumstances. Many states continually revise their criteria for worker notification in order to maximize the benefits of an automated system to process as many of the case actions as possible before involving caseworkers.

Many states have found that observing caseworkers managing their caseloads has given the best guidance for automating responses. Actions that require little or no worker discretion are ideal for automated solutions. Even those situations in which caseworkers review specified case conditions before deciding upon a course of action can be automated through a careful course of selection criteria. A good example of how this

process has been applied can be found in how states have developed criteria for automating income withholding.

Automating responses ensures that next actions are taken in a timely manner and uniformly across cases. Backlogs are reduced or eliminated and caseworkers are more available to focus on situations requiring personal attention.

Generally, increased automation allows caseworkers to focus their expertise on more complex issues pertaining to child support cases. State practices and experience have been incorporated below as suggestions for developing responses to specified return information.

<b>Suggested FCR Response Worker Alerts</b>				
<b>FCR Response Data</b>	<b>Automate Process</b>	<b>Action Alert</b>	<b>Store on System</b>	<b>Comments</b>
<b>Acknowledgement Case/Participant</b>			✓	Annotate the case diary/history whether the person/case was accepted, rejected or pended on the FCR. No action is needed by the caseworker. Caseworkers should review the case diary/history prior to sending a locate request to ensure the person has been accepted since no locate information can be sent on an unverified or rejected person.
<b>SSN/Validity Codes</b>			✓	If the SSN provided by the FCR is different than the state SSN, store the information in the participant demographics or on an FCR screen. Caseworkers can review the information as they work the case and determine whether additional action is required. Storing validity codes helps caseworkers understand how the FCR identified the SSN and the reliability of the SSN.
<b>Date of Birth</b>	✓			If the FCR Date of Birth is different than the state Date of Birth for the child, generate an automatic notice to the CP to determine the correct Date of Birth. Store the information until the CP confirms the Date of Birth. An incorrect Date of Birth can affect the date the child reaches age of majority.
			✓	If the FCR Date of Birth is different for the CP or NCP, store the information. The caseworker will assess the data when reviewing the case.
<b>Date of Death</b>		✓		Store the date of death information received in the proactive match record. Since SSA receives information from multiple sources for the Death Master file, death information must be verified before it can be used. Caseworkers should review the information, as needed, for accuracy and to check for potential benefits for children.
<b>SVES (Title II)</b>	✓			Send automatic income-withholding notice to local SSA office.
<b>SVES (Title XVI and Prisoner data)</b>			✓	Store information in the record. Caseworker may be able to use the information for future case planning.

<b>Suggested FCR Response Worker Alerts</b>				
<b>FCR Response Data</b>	<b>Automate Process</b>	<b>Action Alert</b>	<b>Store on System</b>	<b>Comments</b>
<b>FCR-to-FCR Proactive Match</b>			✓	Store information and set flag on participant record that an FCR to FCR match has occurred. Annotate the case diary/history. Caseworker should review the match during regular case processing and determine the next course of action.
	✓			Send automatic CSI or L01 transaction when information is needed to continue case processing, such as the NCP is not located or the NCP has stopped paying. Do not automatically send a CSI transaction when the case in the other state is known.
<b>External Locates (wages/employment)</b>	✓			If no employer is known or the primary employer has made no payments, send an automatic income-withholding to the employer and annotate the case diary/history.
<b>IRS-1099 Data</b>			✓	Since 1099 information must be confirmed through another source, set a system flag so that the caseworker can review the data as the case is worked. If a caseworker requests IRS-1099 data, the caseworker should set a reminder to check the system for returned data.
<b>W-4</b>	✓			If no more recent employer is known or this employer is not making payments, send an automatic income-withholding to the employer and annotate the case diary/history.
		✓		If not enough information is received to automatically generate an income-withholding notice, or filtering criteria prevents automatic release of the withholding notice, alert the caseworker so that appropriate action can be taken on the income report.
	✓			If the employer information received is the same as shown for the previous income-withholding notice and the employer is not sending payments, automatically generate a compliance letter to the employer.
<b>QW</b>	✓			If no employer is known or the employer identified is different than the current employer, send an automatic income-withholding notice to the employer.
	✓			If the employer information received is the same as where the income-withholding notice was sent and the employer is not sending payments, automatically generate a compliance letter to the employer.
		✓		If the NCP is paying through income withholding through a different employer, alert the caseworker to assess whether income withholding may be applied to the second job and not exceed the Consumer Credit Protection Act (CCPA) limits.
<b>UI (in another state)</b>	✓			Automatically generate an income-withholding notice if the SWA accepts direct income-withholding notices. If not, automatically generate a CSENet transaction to the other state IV-D agency to request assistance with UI collection.
<b>UI (in state)</b>	✓			Automatically generate withholding notice to SWA.
<b>NCP Address</b>	✓			Consider W-4 address as verified and update system. If a different address is received from another source, automatically generate a postmaster verification letter.

Suggested FCR Response Worker Alerts				
FCR Response Data	Automate Process	Action Alert	Store on System	Comments
CP Address	✓			Store information on system and generate an automatic postmaster verification letter prior to updating or overlaying CP information. No worker alert is necessary.
MSFIDM	✓			Store new information and generate automatic freeze-and-seize if case meets state threshold. Automatically generate a CSENet transaction if a two-state case needs to be opened.
DMDC	✓			Store information and automate required notifications to the CP/NCP.
Self employment indicator		✓		Advise caseworker for determination of enforcement action..
Annual Wage Amount			✓	Store for use by the caseworker.

## Best Practices



Before streamlining caseworker alerts or revising the methodology for handling new case information, states should provide training to caseworkers so that they can begin to alter office procedures and staffing allocations.



Some states have developed user training manuals and quick reference desk guides describing the FCR, NDNH and MSFIDM for caseworkers. FCR state TS Liaisons can provide examples of state training materials.

### 7.2.9 File Transmission and Set-up

The FCR transmits files to the states daily, Monday through Friday, excluding holidays. These files contain acknowledgements for FCR transactions submitted by the states, proactive matches, FCR Queries, locate responses and MSFIDM matches. DMDC matches are provided to states on a quarterly basis. Proactive death information is provided to states monthly via a match with the National Technical Information Service (NTIS) file. Additionally, the FCR Data Inconsistency File is generated quarterly to those states that have opted to receive it, and FCR Reconciliation File is generated upon state request.

In some situations the FCR may experience problems and a daily cycle may be missed. These situations may be caused by system maintenance, a daily job executing longer than expected, heavy workload caused by multiple submissions of QW or UI data or other unforeseen circumstances. In these situations it may be necessary for the FCR to transmit multiple files in a given day. States need to set up their receiving dataset in a manner that can accommodate more than one transmission in the same day. The best way to ensure that previously received files are not corrupted or overlaid by multiple files is through the

use of Generation Data Groups or GDGs. This allows a state to receive multiple files and have the ability to access multiple files with minimum inconvenience. It is recommended that the datasets be set up with a minimum of 60 generations. This gives a state approximately two (2) months worth of backed-up files in the event of any problems in the state system.

In recognition of transmission problems that may occur in states, the FCR no longer prohibits multiple transmissions from the same state in the same day.

## **7.2.10 Case Identifier Standardization**

Keeping IV-D case identifiers standardized is key to keeping interstate cases synchronized. Synchronized cases help keep interstate lines of communication open. It is essential that we strive to ensure that IV-D case identifiers do not become out of sync due to the use of identifiers that do not comply with the standards that have been set.

### **7.2.10.1 Case and Case ID Definitions**

The Case identifier (ID) is the single most important piece of information that passes between states for coordination of case actions. The IV-D Case identifier has been defined as “a value assigned by a state to uniquely identify each IV-D case in the state.” When used in conjunction with a state code, the Case ID uniquely identifies a IV-D case for interstate communication and for communication with the Federal Parent Locator Service. A IV-D case is “a parent (mother, father, or putative father) who is now or eventually may be obligated under law for the support of a child or children receiving services under the title IV-D program.” A parent is reported as a separate IV-D case for each family with a dependent child or children that the parent may be obligated to support. If both parents are absent and liable or potentially liable for support of a child or children receiving services under the title IV-D program, each parent is considered a separate IV-D case. This definition is contained in the OCSE-157 report.

### **7.2.10.2 Interstate Communications**

The OCSE National Interstate Case Reconciliation (ICR) project found numerous IV-D case ID formats used by states across the country. Many states were not using the same case ID in their own FCR, ICR, CSENet and EFT/EDI transmissions, making ongoing communication difficult among states, as well as between states and Federal systems. As OCSE emphasized the importance of states’ using a single ID for all communication with other state child support systems, including all FPLS systems, an extensive effort was undertaken to ensure that case IDs were consistent within each state and that states were using the case ID appropriately. Additionally, OCSE urged states to maintain the other state case ID in the other state’s format to facilitate ongoing synchronization, and expedite communications and case processing. Acknowledging the importance of standardized usage across all electronic interstate functions, several states made necessary changes to the format of their case ID to ensure consistency and uniformity in all communications.

The case ID standardization effort revealed various reasons for formatting inconsistencies:

- Document-generation programming problems,
- Case ID displaying differently from the way it is stored in the state system, for example, not displaying integral leading zeros, and
- Manual entry of case IDs.

Discussions with state representatives revealed possible scenarios about how case IDs become disconnected between automated and manual entry. Possible reasons include the following:

- UIFSA forms completed by workers,
- Workers keying case IDs on CSENet transactions,
- Workers manually entering other state's case IDs in their child support system,
- Hard-to-read case IDs on payments, and
- Handwritten case IDs on income withholdings issued in court.

### **7.2.10.3 Case ID Guidelines**

Understanding that states use case IDs to communicate in various ways, the following guidelines have been developed to assist states with maintaining case ID integrity (both the state's own case ID and the other state's case ID stored within in its system):

- Automate to the maximum extent possible to reduce the chance of error.
  - ✓ Map all data from the state system to the CSENet transaction including your own and the other state's case IDs.
  - ✓ Automate placing case IDs and the other state's case IDs in documents.
  - ✓ Consider building a table of the FCR/ICR Case ID Matrix in your system to verify formatting of the other state's case ID.
- Understand the importance of leading zeros.
  - ✓ Leading zeros are often an integral part of the other state's case ID.
  - ✓ When this is the case, the leading zeros must be carried over and stored in your state system.
  - ✓ Case IDs also need to be displayed in the same format as they are stored, including leading zeros.
  - ✓ Consider building a table of the FCR/ICR Case ID Matrix in your system to verify the other state's case ID formatting.
- Determine where and how the other state's case ID is stored on your state's system.
  - ✓ Is it stored in various places? If so, why?

- ✓ Is it stored on your system in the correct format? Consider building a table of the FCR/ICR Case ID Matrix in your system to verify the other state's case ID formatting.
- ✓ Ensure that corrections to the other state's case ID are automatically made wherever it appears.
- Identify other state's case IDs that are incorrectly formatted.
  - ✓ Develop programming to reformat to the correct format.
  - ✓ Eliminate manual intervention by workers.
- Ensure your document generation routine generates case ID and other state's case ID in the proper format.
- Establish or enhance the matching logic for your own state's case ID received from another state. Consider notifying the other state so it can send your case ID in the correct format.

States that have programmed case ID matching routines report that their use has resulted in matching up to 98% of the transactions to their cases correctly, and that it takes less time to process the incoming transactions than if caseworkers performed this function manually. The following illustrates one state's logic for matching. (The state's case ID is seven characters, all numeric.)

- If numeric, read last seven digits (due to padding),
- Strip leading zeros if all numeric,
- Strip any alpha and special characters, and
- Read front to back and back to front.
- If manual entries are still acceptable in your state, ensure that the staff properly enters the data.
  - ✓ Ensure that the case ID information is properly displayed for worker access, e.g., leading zeros.
  - ✓ Consider providing your staff with the FCR/ICR Case ID Matrix to verify changes before case ID data is manually entered onto your state system.
  - ✓ Consider automated reminders to workers, e.g.:
    - Has the case ID data been entered correctly?
    - Interstate Communications = Interstate Collections
    - Have you helped an interstate family today?
    - Got the correct case ID?

The following checklist can be used to assess where modifications may be needed to your system. You may wish to add other processes or applications specific to your state in which your case ID and the other state's case IDs are used.

## **RESOLVING INTERSTATE CASE ID & OTHER STATE CASE ID DISCREPANCIES**

What is being communicated?	How is the data communicated ? (Electronic, Manual, Both?)		Is matching logic in place for your case ID when received from another state?	Is the data stored in various places?		Is the data displayed as it is stored?		Can the data be changed manually?		Is the doc gen routine correct?	
	Case ID	Other Case ID		Case ID	Other Case ID	Case ID	Other Case ID	Case ID	Other Case ID	Case ID	Other Case ID
UIFSA Forms											
Petitions											
Court Orders											
Closing Notices											
Client Notices											
Postal Clearances (Address Verifications)											
Income Withholding Orders											
Written Communications											
Telephone											
Faxes											
Tax Offset Files											
Internal Reports											
Genetic Testing											
MSFIDM											
EFT											
SSA											
Locate Sources											
Payments											
CSENet Transactions											

#### 7.2.10.4 IV-D Case ID Specifications for Interstate Communications

A IV-D case ID is a 15-character alphanumeric field, with the following constraints:

- All data must be in ASCII format.
- The value may use any alphabetic, numeric, or special character except for an asterisk '\*' or a backslash '\'.
- All alphabetic characters must be in uppercase.
- The data field is left justified.
- The value may not begin with a space.
- If the value does not fill the entire field, the value is right-padded with spaces.
- The value may not be all zeroes '000000000000000' or all spaces.

Following is a table that depicts the specifications for Case ID format in the FCR, for CSENet and for EFT/EDI transmissions.

This table provides a list of those characters that are referred to as “special characters” in the format specification for a Case ID.

Special Characters																
~	`	!	@	#	\$	%	^	&	*	(	)	_	-	+	~	`
=	{	[	}	]		\	:	;	“	‘	<	,	>	.	?	/

### 7.3 Making the Most of FPLS Data

With implementation of the FCR and NDNH, states began receiving tremendous amounts of returned data. Unless automated processes are in place to integrate this data into the state system, this data cannot be used effectively. The volume of responses coupled with the criticality of timely data handling means that the state must rely upon automated processes rather than traditional manual processes to monitor case status and take the next appropriate case action. Application of automated processing to routine activities allows caseworkers greater opportunity to focus on more complex issues.

Case IDs for FCR, CSENet, and EFT/EDI								
	Length	Format	Character Set	Allowed Characters	Padding	Alignment	Disallowed Characters	Disallowed Values
<b>FCR</b>	15	Alpha-numeric	Not specific	A-Z, 0-9, special characters with exceptions, all spaces	Not specific	Left-justified	* /	All Zeroes
<b>CSENet</b>	15	Alpha-numeric	ASCII	Uppercase letters, special characters, 0-9	Space padded to the right	Left-justified	None	None
<b>EFT/EDI</b>	20	Alpha-numeric	Not specific	Letters, digits, spaces, special characters (with exceptions)	Trailing spaces should be suppressed	Left-justified	* and possibly /	None

This section presents suggestions and ideas to help states make the most of FPLS returned data.

#### 7.3.1 How to Get the Most from NDNH W-4 and QW Data (Automated Income Withholding)

Income-withholding notices should be automated to the extent possible when processing NDNH W-4 and QW employment data. Automation is the best way states can ensure that the large volumes of income reports are handled and that the required timeframes for case processing are met.

Most states apply filtering criteria to employment data after it is received in the automated system to determine whether income-withholding notices can be automatically

generated or should be reviewed by caseworkers before issuing the income-withholding notice. States have found that highly automated income-withholding processes have dramatically increased child support collections and enabled caseworkers to focus on more problematic cases. In order to make the most of employment information, filtering criteria should be limited to the following factors:

- ✓ Case status is active.
- ✓ Child support order is active.
- ✓ Child support agency has authority to enforce on child support order.
- ✓ Income withholding is not active for reported employer.
- ✓ Complete employer information is available.
- ✓ Order is not being enforced in another state.

In planning for automated actions, state staff should be aware that employers have indicated that they would prefer to receive only income-withholding notices, rather than an employment verification request followed by an income-withholding notice. Where possible, states should develop automated processes so that employers are not required to redundantly complete documentation.

### **7.3.2 Why FPLS Locate Requests are Valuable to States**

States receive address and income information from the FCR proactively when new employment information is received by the NDNH, or when a person record is added or changed on the FCR. When a person record is added or changed, a state may initiate a locate request at the same time, or wait until proactive match information is returned to follow up with a request to external locate sources.

There are circumstances in which it is beneficial for a state to submit a locate request to the FCR. States usually initiate locate requests for IV-D purposes. The two types of locate requests generally submitted are requests for IV-D purposes that include IRS external locate returned data ('CS' Locate Request Type), or requests for IV-D purposes that do not include IRS returned data ('LC' Locate Request Type). Other differences between information provided by a 'CS' or 'LC' Locate Request Type are noted in the following subsections.

Locate requests also may be initiated on behalf of agencies other than IV-D. The Locate Request Type may be 'AD' for Adoption, 'CV' for Custody and Visitation, or 'PK' for Parental Kidnapping. States also may process requests from courts, attorneys, or other authorized persons outside the IV-D agency for locate requests on behalf of the CP. Such requests would be submitted with 'LC' as the Locate Request Type. Processes should be in place for the acceptance and return of responses to the requesting agency or authorized submitters.

The FCR Locate Response Record ('FF') returns external locate responses. The FCR NDNH Locate/Proactive Match Response Record ('FN') returns NDNH Proactive locate

responses. No information is returned on either record type if the person record has an FVI.

Locate requests will match on a valid SSN/name combination stored on the FCR. The person name returned from an external locate source may vary in format. Addresses also may vary in fixed or free format. The ability of a state system to process free format information impacts the data's usefulness. Even states that employ address scrubbing routines may not be able to sort free format addresses without manual intervention.

The following subsections address each locate source available from a locate request.



Locate only or "LC" locate requests should not be used for IV-D locate purposes. The response information provided is limited to address information only. For undistributed collections for case participants on non IV-D cases, submit an NDNH locate request for "LC" or locate only to obtain address information.



If your state system stores the status of the participant on the FCR (i.e., Accepted, Rejected, Unverified), check the status prior to submitting a locate request.

### 7.3.2.1 NDNH Locate Requests

If FCR-to-NDNH Proactive Matches are not routinely stored on the state system, a state can initiate an NDNH locate request when needed. In this way, the locate request can serve as a backup for proactive matching. For instance, when a person's wage history for the past year is needed for order establishment or review and adjustment purposes, states can program the generation of an NDNH locate request. In response, a state will receive up to four quarters of the most recent QW records on the NDNH.

If a state submits an NDNH locate request with a Locate Request Type of 'CS', the state will receive either all available QW information, including its own QW data, or only QW records submitted by other states, depending upon the option selected by the state in the Options Matrix. See Section 7.4.14. If a state submits an NDNH locate request with a Locate Request Type of 'LC', the state will receive its own QW records in addition to those provided by Federal agencies and other states. A state might consider sending an 'LC' locate request if the state does not have QW data stored from the cross match with its own SWA. Under such circumstances, the 'LC' Locate Request Type may help the state construct a more complete wage history for a person for the past year. States that already have their own state QW records on file may opt for the 'CS' Locate Request Type to allow them to request the IRS and Project 1099 as locate sources through the same locate request transaction.

In addition to QW records, an NDNH locate request provides all W-4 records received in the past year and all UI records received within the previous four quarters. These data

sources may help develop a pattern of the type of employment a person seeks, or areas in the country in which a person has lived or sought unemployment benefits.

Although most states retain information received from their State Directory of New Hires (SDNH) on their statewide system, states also have the option to receive their own state's data submitted by their SDNH using an NDNH 'CS' Locate Request. This option allows states to provide caseworkers with all available income data at one time and makes case processing easier. States that wish to receive their SDNH data via a 'CS' Locate request should complete the "FCR Option to Receive NDNH CS-Locate Registration Form". To obtain a copy of the Registration Form states should refer to Appendix L of the Interface Guidance Document (IGD).

The Department of Defense (DOD) has worked with OCSE to eliminate instances in which information is requested or provided redundantly. An NDNH locate request always should be used to obtain the past year's income history for a DOD military or civilian employee or reservist. The information obtained from an NDNH locate request response should not be followed up with an employment verification request to DOD. DOD reports to the NDNH the latest employment and wage verification data available. DOD has requested that employment verification requests be restricted to those instances in which wage histories are required for a time period greater than the past year. DOD QW income reports include all salaries, allowances, bonuses and special payments received during the quarter.

This same logic as to the completeness of DOD NDNH data generally applies to the NDNH data received from all Federal agencies. Since Federal agencies are not only the employer of record, but also the reporting agency for the NDNH (either directly or through an umbrella Federal agency), there are fewer instances in which error may occur from the source to the NDNH.

### **7.3.2.2 Department of Defense (DOD) Locate Requests**

DOD external locate requests can be used to get more detailed information about active, reserve, retired military, and retired civil service personnel. The DOD locate provides the person's address, an indicator as to whether the address is an Army Post Office (APO) or Fleet Post Office (FPO) and identifies the military branch or agency of service along with the employment status (active, reserved, etc.), pay grade or rank, Date of Birth, and the annual salary for retired personnel. However, QW data available from the NDNH provides quarterly income for active and reserve personnel. Income reflected on the QW report includes all base pay, allowances and bonuses paid during the quarter.

### **7.3.2.3 Federal Bureau of Investigation (FBI) Locate Requests**

FBI external locate data provides locate information with either the employer or employee address, and income information with annual salary amount, employment status (e.g., active) and type (e.g., permanent). Additionally of value is the person's type of health insurance coverage (family vs. individual), date of hire, termination date, and

date of death recorded in FBI's records. If a date of death is provided, states should note whether an indicator on the returned address shows that it is for the beneficiary or that it is the last known residence of the deceased.

#### **7.3.2.4 Internal Revenue Service (IRS) Locate Requests**

IRS external locate data provides an address for the matched person with the year of the tax return in which the address was reported. This enables states to assess the age of the address and, consequently, its usefulness. Moreover, the returned data provides the six-position IRS name control for the matched valid SSN, the SSN of the spouse (IRS-U) who filed jointly with the matched SSN, and the second name filed on the return, which may be in fixed or free format and may include special characters.

Since IRS data can only be obtained when the Locate Request Type is 'CS', the FCR will reject locate requests for 'regular' IRS data when the Locate Request Type is 'LC', 'AD', 'CV', or 'PK'. If a state submits a locate request with 'ALL' as the Locate Source and 'CS' is not the Locate Request Type, the FCR will process all the other external locate sources, but will return a warning code that IRS information is not included.

### 7.3.2.5 Department of Veteran's Affairs (VA) Locate Requests

In addition to address information, the VA external locate source provides information about compensation, pension and educational benefits awarded to the matched person. This income information includes the date on which the benefit was awarded, the amount of the benefit award, and the status of the receipt of the award (payments being received or currently suspended). Additionally, an indicator is provided as to whether the veteran is eligible to receive retirement pay, which may point to a need for further investigation. The veteran's reserve duty status is provided and, if designated as active, the veteran may have QW records from DOD as a reservist. An incarceration indicator designates those veterans eligible for VA benefits while incarcerated.

### 7.3.2.6 Social Security Administration (SSA) Locate Requests

Beginning May 10, 2002, the FCR external locate process with SSA was enhanced to allow states to request data from SSA's State Verification and Exchange System (SVES). OCSE implemented a *daily* interface with SVES, which allows states to receive responses on a more timely basis than under the previous SSA external locate interface.

SVES data provides the following:

- Title II – SSA Retirement, Survivors, Disability, and Health Insurance Benefits information for adults as well as child beneficiaries.
- Title XVI – Supplemental Security Income (SSI) Benefits information; and
- Prisoner – Information about inmates in Federal, state and local correctional facilities.

Both Title II and Title XVI records contain address information, so states should consider requesting these sources when a person requires location. In addition, both records contain Date of Death information. The Date of Death provided in the SVES record is confirmed by SSA and should be considered verified. The Title XVI record also contains a Date of Death Source Code that will identify the source of the information.

Title II records include paid claim information on disability and SSA benefits. These benefits may be withheld to satisfy child support obligations. The Title II record will include all necessary information to initiate an income withholding (e.g., Claim Account Number, Beneficiary Identification Code, Net Monthly Benefit amount). Income-withholding orders should be sent to the local SSA District Office instead of SSA's National Headquarters in Baltimore.

When a local SSA District Office receives an income-withholding notice prior to the payment of the lump sum, SSA has indicated that the order will be applied retroactively. SSA has implemented the Court Order Order Garnishment System (COGs) to more efficiently process income withholding notices. One feature of (COGs) is to block issuance of lump sum benefits when an income withholding order is on file.

Note: States must use income withholding for SSA benefits; SSA has indicated that they do not accept liens.

Title II records also include information on “Black Lung” benefits and Railroad Retirement benefits. Some questions have arisen as to whether these benefits may be withheld for child support. Section 459(h) of the Social Security Act (42 USC 659(h)) states that “Black Lung” benefits and benefits paid or payable under the Railroad Retirement System are subject to process for income-withholding purposes.

Title XVI records contain information on SSI. SSI benefits cannot be withheld for child support obligations. However, NCPs receiving SSI may wish to make child support payments on a voluntary basis. In light of this, states should make the SVES information available to workers. The information also may be helpful to determine an order modification in the review and adjustment process.

Children of beneficiaries also may be eligible for benefits based on a parent’s eligibility for SSA and disability benefits. States should consider notifying the CP when an NCP’s benefits are discovered.

In addition to Title II and Title XVI benefits, the SVES enhancement provides prisoner information from approximately 6,500 institutions that participate in the Incentive Payment Program for Prisoner Reporting with SSA. Federal, state and local correctional institutions assist SSA under this program in identifying persons who fraudulently receive SSI/SSA benefits while incarcerated. SSA compensates those institutions that participate in this program.

In order to receive compensation from SSA, institutions must enter into an agreement to furnish identifying (i.e., SSN) information on confined inmates to SSA. Compensation, or incentive payment, is based on timely reporting by the participating institutions. SSA pays incentives in the following amounts:

- \$400 for information received within 30 days after the individual’s date of confinement.
- \$200 for information received after 30 days but within 90 days after the individual’s date of confinement.
- No compensation for information received on or after the 91<sup>st</sup> day following the individual’s date of confinement.

Although the intent of the program is to assist SSA, SVES prisoner data is valuable to state IV-D agencies in locating NCPs, particularly if an NCP is incarcerated in another state. States should be aware that the prisoner information is “point in time” data. That is, the information is provided to SSA upon a prisoner entering a facility and is not updated. States should contact the prison that is provided in the match to obtain additional information.

Additionally, state systems may be programmed to automatically generate an inquiry to a prison to verify the inmate's expected date of release, work status and/or parole information. The SVES prisoner response record has fields for a prison/facility contact, phone and fax number that could assist states in their communications. These fields will be blank if the information is unavailable.

These records do not encompass the entire prisoner population; only those that participate in SSA's Incentive Payment Program for Prisoner Reporting are included. Also, there is no guarantee that the same information exists among different locate sources that contain incarceration data. If a state receives notification in the VA response record that a person is incarcerated, the same information may not be reflected in the SVES prisoner response. The Federal Bureau of Prisons (BOP) maintains an inmate location website for public inquiry, which includes the "projected date of release." The website will search for inmates using name, age, gender or race, but, most importantly, it will search via a unique Prisoner ID Number or Register Number. The SVES response record provides this inmate identifier. If the state is searching for an NCP, and the NCP is in Federal prison, state workers can retrieve the "projected date of release" from the website. The BOP inmate locator website address is <http://www.bop.gov/iloc2/locateinmate.jsp>.

In September 2005, the FPLS was enhanced to provide state IV-D agencies with child benefit information through SVES. The states can request SVES Title II data for a child by submitting the FCR Input/Person Locate Request Record, Record Identifier 'FP', and Action Code 'A', 'C', or 'L'. The Locate Request Type must be 'CS', the Participant Type must be 'CH' for child and the Locate Source Field must be 'ALL' or 'E01' to initiate a SVES request. States will receive the error code LE004 if the Participant type is 'CH' and the Locate Request Type is 'AD', 'PK', 'CV', or 'LC'. If a match is found for the child, SVES Title II information will be returned to states on the FCR SVES Title II Locate Response Record, Record Identifier 'FK'. The Locate Source Response Agency Code will be 'E05', which is the identifier for SVES Title II information. If a match is not found for a child, the FCR SVES Not Found Response Record will be returned with Locate Response Agency Code 'E10'. SVES data for children will be useful to states in the guideline computations used to calculate the NCP's obligation. States that do not participate in the SVES match must opt to become a SVES state prior to requesting SVES data for a child.

SVES responses are sent to states in the 'FK' Locate Response Record. The 'FK' record may contain three different types of responses: 'E05' identifies SVES Title II records; 'E06' identifies SVES Title XVI; and 'E07' identifies the SVES Prisoner Records. Additionally, the 'FK' Locate Response Record will contain an 'E10' response if no record is found.

States have the option to delay the receipt of SVES data until they have had time to program for the three new 'FK' responses. States are encouraged to convert to SVES, as SVES information is more complete and timely than the data provided by the legacy SSA external locate interface. SSA also encourages states to convert to receiving SVES data

from the FCR and to direct questions concerning data definitions to the FCR state TS Liaisons rather than to SSA District Offices.

Until states program to receive the three new SVES responses, they may continue to receive legacy SSA external locate responses. These responses are the 'E03' (Title II) and 'E01' (W-2) records. States should note that SVES Title II data and the 'E03' record are not the same. SVES Title II responses offer more data for state usage. States will continue to receive the 'E01' along with the three new SVES responses.

In addition to the enhancement made to the FCR allowing states to request data from SVES, two new fields, the self-employment indicator and annual wage record, were added in the FCR Locate Response Record for the SSA Locate Source Response Agency Code 'E01'. W-2 data provides information that a person has self-employment earnings on file at SSA. This W-2 data could be the only pointer available to states concerning a person's self-employment, or that the person worked in a field deemed as 'non-covered' employment under state law. No QW information is available in the NDNH for 'non-covered' employment since QW data only pertains to persons in 'covered' employment.

QW matches have effectively replaced W-2 data, especially since states use QW data in conjunction with W-4 data. W-4s must be generated for all new employees regardless of whether they are in 'covered' or 'non-covered' employment. Consequently, a W-4 should be present in the NDNH for any new employee in 'non-covered' employment.

States signal the FPLS that they are ready to begin receiving SVES data by notifying OCSE via fax that they want to convert to SVES. The SVES data election form can be found on the OCSE website at:

[http://www.acf.hhs.gov/programs/cse/newhire/library/fcr/igd/part99\\_app\\_1.pdf](http://www.acf.hhs.gov/programs/cse/newhire/library/fcr/igd/part99_app_1.pdf).

Also, it is important for states to know that SSA has recently indicated that their data access rules prohibit child support's access via TANF to the SSA data. As TANF agreements for access to SDX/BENDEX data are being renewed, child support access is specifically prohibited from its use. OCSE is working with SSA to ensure that states continue to have access to the needed data, but states should consider converting to SVES in anticipation that SVES data may no longer be available via TANF.

There are no changes to the 'FP' locate request record, except that SVES responses are provided when SSA is designated as the external locate source for those states that have converted to SVES. All states should consider converting to receive SVES data in order to take advantage of this enhancement.

For those states that have not programmed to receive the SVES response record, OCSE has developed a print program that removes SVES records from the FCR response file and creates a print file. This print program allows states to take advantage of the SVES data before making the appropriate programming changes. The print program can be obtained by contacting your State Technical Support Liaison.

In July 2004, a conference call was held with those states that are receiving the SVES information through the FPLS - SSA interface. The purpose of the call was to gather feedback about how each state is using the unique SVES data, to discuss data elements states find most helpful, and to glean best practices and lessons learned for using the SVES match. To review the notes from the call, refer to the following website:  
[http://www.acf.hhs.gov/programs/cse/newhire/library/fcr/sves\\_conf\\_call.htm](http://www.acf.hhs.gov/programs/cse/newhire/library/fcr/sves_conf_call.htm).



States have reported that the address information provided by the SVES locate response is generally current information. SSA beneficiaries provide accurate address information to SSA.



Some states populate specified SVES information and create reports that identify information requiring verification. Once verifications are completed the information is added to the system.



Some states have automated their system to notify the custodial parent of the possibility of entitlement to SSA benefits when the SVES verified date of death information is received.

### **7.3.2.7 National Security Agency**

The National Security Agency (NSA) external locate data provides states with locate information for special federal employees. This includes the employee or employer address, income information with annual salary, employment status and type. Also, it provides health insurance information, date of hire, termination date, federal employer's identification number of federal agency, and date of death recorded in NSA's records. Information will not be returned for employees in sensitive positions.

States can request NSA data by submitting the FCR Input Person/Locate Request Record. The Locate Source field will require a Locate source Code of 'A03' or 'ALL' in order to receive information from NSA. NSA data can only be obtained when the Locate Request Type is 'CS' or 'LC', the FCR will reject locate requests for either 'AD', 'CV', or 'PK'. If a state submits a locate request with 'ALL' as the Locate Source and 'CS' or 'LC' is not the Locate Request Type, the FCR will process all the other external locate sources, but no information will be returned for NSA. NSA responses will be returned to states in the 'FF' Locate Response Record. Unlike the other external locate sources, NSA responses will be returned on a monthly basis.

### **7.3.2.8 How Duplicate Locate Requests are Handled**

The FCR rejects a locate request that is an exact duplicate of one currently being processed. A request is deemed an exact duplicate if it contains the same state code, SSN, county FIPS code, request type, user field, and member ID, and a response has not already been received from an external locate source. If a state designates multiple

external sources, the FCR will ignore the request for a source that has not yet responded and submit the new request to those sources that have already responded.

States should consider tracking locate requests in their audit file in a manner similar to their tracking adds, changes and deletes. In order to ensure duplicate locate requests are not sent, a state may opt to interrogate its audit file prior to sending a locate request to ensure there are no outstanding locate requests. States should ensure programming is in place to handle a rejected locate request if an exact duplicate is detected by the FCR.

### **7.3.3 How the FCR Can Help with Military Medical Coverage Information**

In December 2005, the Federal Office of Child Support Enforcement (OCSE) conducted the first match between the Federal Case Registry (FCR) and the Defense Manpower Data Center (DMDC). The DMDC maintains the Defense Enrollment Eligibility Reporting System (DEERS). DEERS contains medical coverage information for military members and their dependents.

This purpose of the match with DMDC is to identify children that are currently enrolled in DEERS, identify children that are eligible for coverage, but are not currently enrolled and identify children that have terminated from previous enrollment. By providing this information automatically, each quarter, states no longer need to send the National Medical Support Notice (NMSN) to DMDC in Seaside, CA. This process is beneficial to states since children can be counted on the OCSE 157 report when the order provides for medical coverage and the child is covered by TRICARE, and States get the medical information faster. This match expedites the exchange of information for enrollment of children of military NCPs in DMDC benefits and should substantially increase the number of children who have medical coverage.

On a quarterly basis, the FCR selects open IV-D cases and sends the DMDC a record consisting of an NCP/PF and /or a CP. Also, at least one child must be present in the case for a match to occur. DMDC matches the FCR participants against its records to determine whether the child is covered by TRICARE, a military health benefit. The selection criteria for determining when a case is submitted to the DMDC for matching includes the following:

- Open IV-D case with active child under 23
- At least one adult case participant
- At least one participant has a verified SSN
- Includes participant verified multiple SSNs
- No case participant has a family violence indicator.

DMDC returns information to the FCR to indicate whether the child is or was covered by TRICARE. The FCR transmits the information to the states by sending a separate record for each child on the case and their NCP/PF and CP combination. Multiple records may be returned for a child when case participants have multiple SSNs.

The first match provided over 455,000 matches to the states. 62% of those matches showed the child already enrolled. 24% showed at least one parent in the military, and the child not enrolled in coverage. And, 14% showed child as previously enrolled in coverage, however, no case participants are currently enrolled.

When handling the data returned from this match, States must ensure that all updates from one match have been completed before they process a second match. When processing the matches provided by the DMDC match, states may automatically update the child support system or request the DMDC print program for manual use. Print programs are constructed to produce three reports:

1. Children covered by TRICARE
2. Children not covered who have a parent who is in the Military
3. Children previously covered.

For best efficiency, when States begin processing of their second match, the data from the second and first match should be compared so that States only deal with the differences between the two matches. For this reason, States must keep the previous quarter of DMDC matches for comparison to the next quarterly match update. For a copy of the print program that has been developed for this match, states should contact their State Technical Support Liaison.

There are several key points to keep in mind when using the DMDC matches:

- Data is not stored on the FCR;
- All matches are provided with each match file;
- Each match is drawn from data as of first month of the calendar quarter;
- SSN is used to match FCR to DMDC;
- Data is not returned if FVI is present;
- Data is available faster than through manual queries.

### **7.3.4 How the FCR can Help with Case Clean Up**

OCSE developed an FCR summary report for IRS to provide statistics of inconsistencies in person data. Person-specific data was added to the summary report at the request of child support agencies to assist in identifying data anomalies.

A FCR Data Inconsistency File was developed to identify data anomalies at the person level, thus allowing states to use the file to correct person data within their state system. The data anomalies identified in the FCR Data Inconsistency File are:

- Person is identified as a PF but his case record indicates an order exists;
- Person is identified as an “adult” member of a case (CP, NCP or PF) but the person’s age is less than 11 years old;
- Person’s Sex Code is neither ‘F’ (female) nor ‘M’ (male); or
- Person is identified as a PF but Sex Code is ‘F’ (female).

Each record in the file may contain up to three warning codes to indicate data inconsistencies. If none of the above inconsistencies exists for a person record on the FCR, that record is not returned on the file sent to the state. If no anomalies exist in the state's records, the state does not receive an FCR Data Inconsistency File.

States should research persons in question and their cases to determine what, if any, corrections are required. Once corrections are made to the state system, change transactions should be sent to the FCR to correct the person and case records.

To initiate the process to receive this file, a state must request the FCR Data Inconsistency File by submitting a letter to:

Joan O'Connor  
HHS/ACF/OCSE  
Federal Parent Locator Service, 2<sup>nd</sup> Floor  
370 L'Enfant Promenade, SW  
Washington, DC 20447

Requests also may be faxed to Joan O'Connor at 202-401-5553 or 202-401-5647, or emailed to [joconnor@acf.hhs.gov](mailto:joconnor@acf.hhs.gov).

The FCR Data Inconsistency File is available to states on a quarterly basis via CONNECT:Direct. To receive this file, a state first must create a data set name for the incoming file and set up the processes to receive the file. The Data Inconsistency Files are run the first week of June, September, December, and March.

## Best Practices



Some states have created data quality and special project teams that work exclusively on researching and correcting data inconsistencies. Most of these teams work from reports created by the statewide system, so the FCR Data Inconsistency File is ideal for this process.

### 7.3.5 How the FCR can Help with Case Closure

In November 2001 as part of FCR Release 01-01, the FCR-to-FCR Proactive Match process was enhanced to provide information to states when a case is closed or a person record is deleted. Prior to this enhancement, proactive FCR-to-FCR matches were sent only when case and participant records were added or changed.

This enhancement affords states the opportunity to identify cases and participants that have been closed or deleted on the FCR by another state. The delete information enables states to better manage their interstate caseloads and keep interstate cases and participants synchronized with other states. States should notify their caseworkers of the receipt of closed case/deleted participant matches for interstate responding or initiating cases so that

appropriate follow-up action is taken (e.g. case closure). Appropriate case closure assists states with performance measurement and caseload allocation.

The delete information states receive is person-based. The proactive match indicates whether the person is being deleted on an individual basis or because the entire case was closed. Matches are sent for both IV-D and non IV-D person deletes, but only to states that have IV-D cases. Proactive matches are not sent when a person on the FCR has an FVI. Proactive matches also are not sent to a state that previously deleted the person record.

To identify proactive matches generated by case closures or deletion of participants, changes to the FCR Query/Proactive Match Response Record ('FT') includes a new field, Person Delete Indicator, which was added in position 800 in an area previously defined as filler. The valid values are 'C' to indicate that the entire case was closed and 'P' to indicate that the individual person was deleted from a case still open. A change also was made to the Case Change Type field (position 867) to allow a new value of '4' for case is closed or person is deleted.

States should focus on cases in other states with which they share common persons since those cases have the greatest impact on case processing. Prior to deleting a person record or closing a case based on a proactive match, a state should verify the information. States could consider generating a CSENet transaction or performing a worker review.

### **7.3.6 How SSA Date of Death Matches Can Help with Case Processing**

At the request of states, the FCR began matching in November 2001 against date of death information provided by SSA. This enhancement was implemented under FCR Release 01-01.

States wanted this match as it provides valuable death information that could change the case function or disposition. Depending upon the case, death information might lead to a lien being placed upon the estate of the deceased, or the CP may be advised to apply to SSA for survivor's benefits. In some instances, the case may meet case closure conditions. Because the implications as to next case step may be complicated, states should use discretion in closing cases, or deleting persons, based on the receipt of SSA date of death information. States should verify the information independently. SSA may have to correct or delete dates of death erroneously reported. Because the incidence of error in what is reported to SSA is significant, states should exercise caution in using the death information.

The SSA Death Master File provides the SSN, name, date of death, zip code of last residence, and zip code of where any lump sum payment was sent for persons reported as deceased. SSA obtains this information from several sources, including reports from funeral homes and hospitals, as well as phone calls from relatives. Only information for verified SSNs is added to the SSA Death Master File.

Monthly, the FCR matches against an SSA Date of Death Update File, which includes new dates of death, changes to previously reported dates, and deletions of erroneously reported dates of death. The monthly updates are relayed to states, as was the initial match, through the FCR Query/Proactive Match Response Record ('FT').

To process date of death matches on the 'FT' record, states must accept:

- ✓ Code 'D' for SSA Date of Death File Update in position 5, Action Type Code;
- ✓ Dates in positions 184-191, Matched Person Date of Death, including '99999999', which indicates SSA is removing an erroneous date of death previously reported;
- ✓ Values in position 755, SSA Date of Death Indicator, of 'A' for a new date of death, 'C' for a correction to a previously reported date of death, and 'D' for the deletion of an erroneous date of death previously reported; and
- ✓ Address data in positions 756 through 792 that reflects the city, state and zip code of the address where the deceased last resided and where any lump sum payment was sent.

States should be aware of the following important points:

- ✓ The 'FT' records that contain date of death information are generated specifically from the match with SSA Death Files; these are records independent of proactive matches that share information among states. Information as to associated-case participants is not contained on the 'FT' records generated from date of death matches since these matches are person-specific.
- ✓ Date of death matches are made regardless of the presence of an FVI.
- ✓ Date of death matches are made for persons in both IV-D and non IV-D cases.
- ✓ Only the FCR Primary SSN is used for the match; date of death matches are not made against multiple valid SSNs on the person record.
- ✓ Address information on the returned 'FT' record is keyed off the receipt of a valid zip code from SSA. SSA only provides the zip code for the address where the deceased last resided or where a lump sum payment was sent. The FCR uses SSA's zip code to locate the associated city and state. If SSA has an invalid zip code in its Death Files, the address fields on the 'FT' are blank.

In addition to the monthly updates the FCR sends states, the FCR returns any date of death information stored on the FCR whenever a person record is added or changed successfully on the FCR, or when a locate request is received. The date of death information is returned on the FCR Person/Locate Request Acknowledgement/Error Record ('FS').

An 'FS' record is returned for each 'FP' person add, change, or locate request accepted by the FCR. Only the FCR Primary SSN is used for the return of date of death information on the 'FS' record. The following is provided as an easy reference to where date of death information appears on the 'FS' record since the relevant data fields do not always follow each other sequentially. This occurred since 'placeholders' were reserved for fields known to be available from SSA in the original 'FS' record specifications.

Fields previously defined as filler were used for FCR-determined city and state based on an SSA-provided zip code.

- SSA-recorded date of death in positions 685-692;
- SSA-provided zip code for the deceased's last known residence in positions 693-697;
- SSA-provided zip code for the address to which any lump sum payment was sent in positions 698-702;
- City of the deceased's last residence in positions 804-818 as determined by the FCR based on SSA-provided zip code;
- State of the deceased's last residence in positions 819-820 as determined by the FCR based on SSA-provided zip code;
- City where any lump sum payment was sent in positions 821-835 as determined - by the FCR based on SSA-provided zip code; and
- State where any lump sum payment was sent in positions 836-837 as determined by the FCR based on SSA-provided zip code.

Date of death information also is provided to states with the FCR Person Reconciliation File. Use of the Reconciliation File is described in detail in the next subsection of this guide.

States need to coordinate date of death information received from the SSA Death Files with other date of death information received from external locate sources on the FCR Locate Response Record ('FF'). The date of death information may not be consistent among the various sources:

- FBI external locate response record returns date of death information for employees killed in the line of duty.
- SSA SVES response records provide date of death information for SSA and SSI beneficiaries.
- VA external locate response record returns date of death information that is reported to the VA by family members, or information that is known to the VA through hospital records.

With the exception of certain SVES Title XVI date of death information, none of the death information is verified. States should contact the state vital statistics agency to verify date of death information.

### **7.3.7 How to Stay Synchronized with the FCR**

The FCR Reconciliation File was developed to enable states to synchronize their SCR with the FCR. The reconciliation process returns to a requesting state its case data and associated person data stored on the FCR. States should use this file to compare against their current SCR data. Discrepancies between the FCR and the SCR can be remedied by state transmission of appropriate case and person 'Adds', 'Changes', and 'Deletes' to the FCR.

The Reconciliation File includes four record types:

- RB - FCR Reconciliation File Header Record

- RD - FCR Case Reconciliation Record
- RS - FCR Person Reconciliation Record
- RX - FCR Reconciliation File Trailer Record

Some points for states to remember in using this file are:

- ✓ The Reconciliation File is helpful for states that have not regularly transmitted data to the FCR since their initial transmission, as well as for all states that wish to periodically verify that their processes for transmitting data to the FCR and for accepting returned data from the FCR are working reliably.
- ✓ States should not request the Reconciliation File until they are ready to begin/resume regular transmissions to the FCR.
- ✓ The Reconciliation File returns information as it exists on the date the file was created. This date is contained in the FCR Reconciliation File Header Record. States should suspend regular transmissions to the FCR once the request for the Reconciliation File has been accepted. Regular transmission should begin as soon as the Reconciliation File is processed.
- ✓ The FCR retains person information only if there is at least one adult associated with the case.
- ✓ Person records containing an FVI are included in the Reconciliation File since the FCR is returning exactly the information submitted by the state requesting reconciliation. A message is returned for each person record that has an FVI regardless of whether the state receiving the Reconciliation File or another state placed the FVI.
- ✓ Unverified person records are included in the Reconciliation File to reflect records that are stored on the FCR for a state that is awaiting the input of more complete person data so that SSN verification may be made. A warning message is returned for these records to remind the state that no proactive matching, locate requests, or FCR Queries are performed on unverified records.
- ✓ The Reconciliation File will not return the “State-Submitted SSN” on the FCR Person Reconciliation Record.
- ✓ The Reconciliation file will contain two indicators to notify states whether the additional SSNs 1 and 2 are verified. It will contain a “V” if the Additional SSN is verified or a “U” if it is not.
- ✓ The Reconciliation File is returned to states using CONNECT:Direct. To receive this file, a state first must create a data set name for the incoming file and set up the processes to receive the file.
- ✓ The Response Record Count in the Reconciliation file does not count the Header or Trailer Records.

As mentioned in the subsection on the benefits of matches with SSA Death Files, the Reconciliation File contains death information. For persons reported to SSA as deceased, the reconciliation record includes the date of death, the person's zip code of last residence, and the zip code where the lump sum payment was sent.

### 7.3.8 When to Generate a CSI Transaction

The CSENet Case Information (CSI) transaction allows states to follow up with other states in an automated fashion after receiving an FCR Query/Proactive Match response. The CSI transaction may also be helpful in obtaining information from other states to register a person on the FCR. States have varying methods for evaluating incoming FCR data and determining whether or not additional information is needed. For example, some states automatically initiate the CSI transaction, while others opt to have caseworkers review the FCR to FCR matches and determine whether a CSI transaction is necessary. States have established their own procedures based on business needs, state statutes and Federal guidelines. As of May 2005, 52 states and territories were generating CSI transactions.

In developing criteria for generating automated CSI transactions, states should consider the impact on the responding state. Large volumes of CSI transactions can have a negative impact on a responding state’s processing time and processing window. States also should be aware of their ability to integrate large volumes of CSI response data into their systems.

Suggested Criteria for Automating CSENet CSI Transactions	
Criteria for Automating CSI	Rational for Sending CSI
State A shares a child in common with a case in State B and State A was unaware of State B’s case.	Assists states in determining controlling order and establishing continuing and exclusive jurisdiction (CEJ). Helps prevent duplicate enforcement efforts.
State A shares all persons on a case in common with a case in State B and State A was unaware of State B’s case.	Assists states in determining controlling order and establishing CEJ. Helps prevent duplicated enforcement efforts.
State A shares all persons in common with a case in State B and State B has indicated an order exists of which State A is unaware.	State B may have already established paternities and child support obligations that State A is attempting to pursue.
State A has scheduled a case for review and adjustment and the NCP or CP in State A’s case belongs to another case in State B.	State A may require other child support case information for the order modification process.

In addition to automatically generating CSI transactions from the state system, states should consider providing caseworkers with the ability to generate the CSI transaction. For example, a caseworker in State A may be aware that an NCP without a verified SSN has a case in State B. State A has not been able to register the NCP on the FCR without an SSN or other personal identifying data. State B may be able to provide an SSN in response to a CSI transaction. If a verifiable SSN is obtained, State A can register the NCP’s person record on the FCR.

States should be aware that some states store non IV-D cases outside the state system or store only the minimum data elements required for the SCR. States that do not store non IV-D data on their state system should have policy and procedures in place as to how to respond to CSI transactions for non IV-D cases.

## 7.4 How to Work With Response Records

This section presents the errors and warnings issued for transaction types and the suggested processing for each of them. When states submit transactions to the FCR, in some situations, error and warning codes are returned in the acknowledgement records. They also may be received with the reconciliation records and the data inconsistency records. Acknowledgement records are returned for Case or Person adds, changes or deletes along with locate and query requests.

OCSE provides Errors and Warnings Management Information (MI) reports to states that categorize the different messages by type: Informational, Synchronization, or Programming. The first type of messages is categorized as informational since these messages do not indicate problems, but provide information to states. Messages classified as synchronization indicate the state system does not appear to be in sync with the FCR. Programming messages indicate that a possible state system problem exists. States should use these MI reports to clean-up data inaccuracies on the state system. The following chart lists all the errors and warnings by category.

Errors and Warnings Categories								
Informational	LE001 LE002 LE008		PE001 PE013	PW001 PW002 PW010		QW002	TE036 TE100	TW101 TW102
Synchronization	LE007		PE002 PE004 PE006 PE007 PE011 PE012	PW003 PW004 PW006 PW009	QE001 QE002 QE003 QE004		TE012	
Programming	LE003 LE004 LE009	LW002 LW003 LW004	PE008 PE010 PE016	PW011		QW001	TE001 TE002 TE004 TE005 TE006 TE010 TE011 TE013 TE014 TE015 TE016 TE017 TE018 TE019 TE020 TE021 TE022 TE023 TE024 TE025 TE026 TE027 TE028 TE029 TE030 TE031 TE032 TE033 TE035 TE039	TW001 TW002 TW003 TW004 TW005 TW006 TW007 TW008 TW009 TW010 TW011 TW012 TW013 TW014 TW016 TW017 TW018 TW019 TW020 TW021 TW022 TW023 TW024 TW025

## Best Practices



It is helpful to periodically review the total number of returned errors and warnings by reason code and analyze the data to determine the cause. In this way, programming problems such as faulty logic or a lack of appropriate edits, can be detected and corrected globally.



Errors caused by missing data should not be referred to the worker if state policy and practice dictates that all available data be entered on the system as information is collected. Errors are corrected as additional case information is collected and the case or

person is resubmitted to the FCR. The system should be programmed to recognize when sufficient data has been captured so that an add or change transaction can be submitted. If worker notification is desired, one approach is to set a future time when state system data will be reviewed for FCR acknowledgements. Workers may be notified of persons who have not been registered on the FCR, or have not passed FCR edits.

#### **7.4.1 FCR Batch Response Header Records**

A header record is the first record in a batch and describes the contents of the batch. The header record, along with the associated detail records, is returned for each batch that is submitted by a state or territory. Header and Trailer records are usually included in the file's record count contained in the Trailer Record. Header Record types include:

- FB – FCR Routine Batch Response Header Record
- FE – FCR Pending Resolution Batch Response Header Record
- FL – FCR Locate Response Batch Header Record

##### **7.4.1.1 FB – FCR Routine Batch Response Header Record**

'FB' header records are returned with FCR acknowledgements, errors or warnings. Acknowledgement codes indicate that the batch was accepted by the FCR, with or without warnings, or the record was rejected due to errors identified, or that the resolution status of the record is pending acceptance.

*Uses:*

This record transmits error codes that are returned to indicate problems in processing the batch. Reference Appendix J of the IGD for a complete explanation and description of the applicable codes. Generally, the error(s) detected should be corrected and the case/person resubmitted. Ensure that the Batch Number continues to be unique. No person or case processing takes place when a batch is rejected.

##### **7.4.1.2 FE – FCR Pending Resolution Batch Response Header Record**

'FE' header records are returned for records that were pending due to SSN verification, and have now either been accepted as identified/corrected or rejected.

*Uses:*

The information contained in this record identifies incoming information about SSNs critical to all child support case processing. If a new SSN is identified, it should be given a high processing priority so that the worker is aware of the new SSN. Other in-state locate/enforcement efforts may benefit once an FCR-verified SSN is identified.

##### **7.4.1.3 FL – FCR Locate Response Batch Header Record**

'FL' header records are returned at the beginning of each Locate Response batch and responds to the FCR Input Person/ Locate Request Record (FP). The Locate Response Batch can include NDNH proactive matches, FCR proactive matches, responses to FCR

Queries , NDNH responses to locate requests, FPLS responses to external locate requests, and Multi-State Financial Institution Data Matches. Responses to IRS-1099 requests are sent with an 'FL' Header Record, but they are sent separately from all other locates and proactive matches.

**Uses:**

The information contained in this record is important to child support case processing since it is returning positive locate information. Other case processing may be pending valid locate information so that an NCP or PF can be served, or income withholding can be initiated.

### 7.4.2 Acknowledgement/Error Records

In response to person or case records submitted by states, the FCR returns Acknowledgement/Error Records. Acknowledgements, Errors, and/or Holds are returned for all records submitted, unless suppressed by election of the state. Acknowledgement codes indicate that the record was accepted by the FCR, with or without warnings, was rejected due to critical errors, or is in pending status awaiting SSN verification.

The Acknowledgement/Error record is useful to ensure that the FCR and the SCR remain synchronized. For example, if the state submits a record for a person, but the SSN cannot be verified, the submitter will not receive proactive matches on that person and the SSN is not valid for any locate efforts attempted by the submitter through the FCR.

Although the FCR contains a mechanism (the Output Control Matrix) that allows states to suppress certain acknowledgements, the experience of many states suggests that the lack of such acknowledgements puts a state system at risk in its ongoing interface with the FCR. In view of the follow-up changes that inevitably occur in the life of most IV-D cases, it becomes increasingly important that the state system and the FCR function in a coordinated way. A key part of this coordination is for the state system to receive and process acknowledgements of its submissions to the FCR so that future case actions can be initiated correctly with minimum delay and disruption to workflow.

### Best Practices



Develop a flag on the system to notify the worker if the person or case record was accepted or rejected by the FCR.



Create a trigger file and audit trail to synchronize with the FCR. The audit trail will track all accepted and rejected persons and cases.



Store only current errors. If the state system tracks errors returned, the last five errors received are the most relevant. The FCR will re-issue all outstanding errors and warnings each time a transaction is processed for a case or person.



If a state does elect to have Acknowledgement records suppressed, the state should not have both accepted and pending Acknowledgement records suppressed. A logical default cannot be assumed if both types of acknowledgements are suppressed. Consequently, a state will not be able to distinguish between records still pending from those accepted by the FCR, and the state will not be able to code case and person records within the state system for synchronization with the FCR.

Chart 7.4.2 indicates options for processing acknowledgement codes and may be used to guide design discussions.

Chart 7.4.2 Acknowledgement Code Processing Options	
Acknowledgement Codes	State Processing Options
AAAAA	<p>Receipt of this code indicates that the record (case or person) submitted by the state was accepted by the FCR. Receipt of this code does not mean that the SSN was verified. (A maximum of five warning messages may be sent.)</p> <p>Processing options include entry of a diary event that the FCR was updated, or update of a code within the system that tracks FCR status to keep it in synchronization.</p>
HOLDS	This response indicates that record (case or person) acceptance is pending SSN identification or verification.
REJCT	This indicates the record (case or person) was rejected. Up to five error codes indicate problem(s) detected in the record.

Error codes indicate specific errors detected in the input transaction and the reason the transaction is being rejected. Error codes and descriptions are included below for each type of Acknowledgement/Error Response Record. Please note that the error description is in abbreviated form.

Note: Please refer to Appendix J in the Interface Guidance Document for additional details about the error codes and full descriptions of the error message. Appendix J provides a complete listing of the errors, listed once, with their meaning as they appear in different types of response records. This section of the Technical Assistance Guide separates the errors and explains them as they relate to each response record separately. Also, the “Description” column is not a literal description of the errors, but an explanation of the probable cause of the error. In some instances the “Description” is more interpretive.

Many errors and warnings are caused by problems in system programs, synchronization or state-level edits that may not have been adequately applied. Applying system edits and careful editing of data being submitted to the FCR can eliminate many errors being returned to the submitter.

**In the charts below, as each processing error is described, the symbol  is inserted in the “Suggested Processing” option area as a reminder to check the system**

**programs when this error is detected.** The problem is not likely to be one that the worker can correct, but may be remedied globally by making changes to the code. The "Suggested Processing" often includes highly automated responses to the data. However, when data cannot be processed automatically, it should be communicated to the caseworker, according to state policies and procedures.

There are a series of errors and warnings that indicate whether the SCR is out of sync with the FCR. Please refer to section 7.3.6 to determine whether the reconciliation process will assist in getting the SCR back in synchronization with the FCR.

Throughout this section, the suggested actions may include advising the worker. All systems have the capability to create a worker action item with new information. Some systems have the capability to distinguish between messages to workers that are informational and those that require worker action. State policies and procedures provide definitive guidance on whether a worker should receive an informational message or an action item. If possible, workers should only be given action items when they can correct a problem or when continued case processing would be jeopardized.

Acknowledgement/Error records for an NDNH/external source locate or an FCR query should be processed as a higher priority activity since the information being returned may have been requested by a worker in order to proceed with case processing.

#### **7.4.2.1 FD – FCR Case Acknowledgement/Error Record**

This record is returned at least once for each Input Case Record (FC) received by the FCR. It includes all of the information received from the submitter with an associated acknowledgement code, applicable warning code(s), and/or rejection error code(s). This record provides the submitter with information needed to ensure that the SCR remains synchronized with the FCR. A case record is returned twice if it was initially put on hold pending resolution of the SSN.

Errors can often be processed without the need for worker intervention. Caseworkers routinely enter all available data; consequently, a message to the worker that information is incomplete will not immediately generate more information. In addition, several of the errors occur based upon the manner in which files are processed or the format of certain data fields. These are technical issues that cannot be remedied by workers. **The exception is errors and warnings related to validity of the SSN.** These error and warning codes could inform the worker of the need for additional research into locating another SSN for the NCP. State program operational standards should provide detailed direction about all error processing and the potential for fully automated solutions.

Chart 7.4.2.1 lists error codes and warnings that may be returned in FCR Case Acknowledgement/Error records along with suggestions for processing when the specified code is returned. **Refer to Appendix J of the Interface Guidance Document for a full description of the error and warning message(s).** This chart may be helpful in state design discussions.

Chart 7.4.2.1 Case Processing Errors/Warnings Returned in FCR Acknowledgement/Error Records		
Error Code	Description	Suggested Processing
PE002	Change attempted to a case that is either not on the FCR or that is not associated with the submitter's state or territory.	SCR is out of sync with the FCR. Submit case as an 'add' in order to get the case registered to the submitting state or territory. <i>Note: It is advisable to hold changes on new case records until an acceptance acknowledgement is returned. However, change transactions are recycled by the FCR one time to ensure that an add transaction is not pending.</i> 
PE006	Add case attempted for a case already on the FCR.	SCR is out of sync with the FCR. Submit action as a change. 
PE011	Case or person already deleted.	SCR is out of sync with the FCR. Requires no action if the person should be deleted. . 
PE012	Update action attempted on a deleted case.	SCR is out of sync with the FCR. Review case status. If the case is currently active, submit transaction to add case. If the case is not currently active on the SCR, it requires no action. 
PE016	Case type and order indicator inconsistent.	If a case type is 'N' – non IV-D, the order indicator must be 'Y'. The case and person records must be resubmitted. Resubmit the case with a 'Y' indicator.
PW001	No CP, NP, or PF on record has a verified SSN. No locate actions will be taken.	No suspense date for resolution should be established. Optionally, generate a document to the CP asking for additional SSN information.
TE001	Invalid Record Identifier.	Submit with correct identifier. 
TE002	Invalid Action Type.	Submit with correct Action Type Code. (A/C/D) 
TE005	Case ID must be present and not equal to zero if the record identifier is 'FC' (Input Case).	Submit transaction with Case ID in correct format. Special characters of '*' and '/' are not allowed. 

<b>Chart 7.4.2.1 Case Processing Errors/Warnings Returned in FCR Acknowledgement/Error Records</b>		
<b>Error Code</b>	<b>Description</b>	<b>Suggested Processing</b>
TE006	Case must contain CP, NP, or PF to be a valid case.	Submit FC record with at least one associated FP record. This error likely occurred because all the person records submitted by the state were not accepted by the FCR due to errors. Generate a document to the CP asking for additional information that will aid in identification of SSNs for the NCP, CP, or PF. 
TE029	Case Type invalid for Action Type.	Submit with 'F' or 'N' for add case, or 'F', 'N', or space for change case. 
TE030	Invalid Order Indicator for Action Type.	Submit with Order Indicator 'Y' or 'N' for add case, and 'Y', 'N', or space for change case. 
TE031	Change Action Type transmitted no changes.	Review record to determine whether a change should have been transmitted. If so, add changed data to file. If not, purge this action. 
TE032	Actions to add case must be accompanied by at least one add person input record.	Submit actions to add case and add at least one associated CP, NCP, or PF. 
TE039	Order Indicator error.	Non IV-D cases can only be added to FCR if the Order Indicator is 'Y'. Non IV-D change case action must have an order indicator of 'Y' or space. Submit with correct Order Indicator. 
TW018	Invalid FIPS County Code. With Action Type code 'Change' or 'Add', FIPS County Code must be numeric or spaces.	Submit the correct FIPS code. 
TW019	Invalid Previous Case ID. <ul style="list-style-type: none"> <li>▪ 'Add' case must have no previous Case ID.</li> <li>▪ 'Change' Previous Case ID must have value greater than zero or spaces.</li> </ul>	Review Previous Case ID submitted. <ul style="list-style-type: none"> <li>▪ 'Add' transactions cannot send a Previous Case ID.</li> <li>▪ 'Change' Previous Case ID number must be spaces or greater than zero and, if a Previous Case ID is present, must begin in the first position.</li> </ul> 
TW022	Case ID and Previous Case ID cannot be equal	Ensure that case number change is valid. 

### 7.4.2.2 FG – FCR Query Acknowledgement/Error Record

‘FG’ response records are similar to routine FCR acknowledgement records because a response record is returned once for each FCR Input Query Record (FR) received. However, processing this response should be a higher priority because the worker requested the returned information. The Acknowledgement record indicates the record was accepted with or without minor errors, or rejected. If minor errors are detected, a warning code is generated. The record includes warning codes and/or rejection error codes.

#### Best Practices



Queries initiated by workers should receive more consideration for worker alert than those initiated by automatic processes. Worker alerts should be used sparingly and only when case processing requires intervention.



If system currently does not allow workers to initiate an FCR query, add the FCR query request to an existing screen rather than building a separate screen for that function.

Chart 7.4.2.2 lists error codes and warnings that may be returned in FCR Query Acknowledgement/Error records along with suggestions for processing when the specified code is returned. **Refer to Appendix J of the Interface Guidance Document for a full description of the error and warning message(s).** This chart may be helpful in state design discussions.

Chart 7.4.2.2 Processing Errors/Warnings Returned in FCR Query Acknowledgement/Error Records		
Error Code	Description	Suggested Processing
LE001	Information cannot be disclosed because the person has an FVI.	Inform worker, if a caseworker submitted the query; otherwise, annotate record or indicate result in history file.
PE002	Submitter does not have the case on FCR.	SCR out of sync with FCR. Submit case as an ‘FC’ Add transaction. 
QE001	Person not found on the FCR.	Inform the worker that the person was not found on the FCR. This error might also indicate that the SCR is out of sync with the FCR. 
QE002	Case ID on the FCR query does not match a IV-D case belonging to the submitting state and the Action Type Code is ‘F’.	SCR out of sync with FCR. If SCR has the case, submit case as an Add transaction. 

<b>Chart 7.4.2.2 Processing Errors/Warnings Returned in FCR Query Acknowledgement/Error Records</b>		
<b>Error Code</b>	<b>Description</b>	<b>Suggested Processing</b>
QE003	No match made for the query.	Inform worker that query yielded no result.
QE004	SSN submitted for query is not verified.	Submit with a verified SSN when available. 
QW001	Because the case is non IV-D, or the SSN is unverified, only data from the submitting state will be returned.	Inform worker that only his/her own state's data was received.
QW002	No match found in a state other than the submitter's state.	Informational only, lets the state know that they have the only case with this verified person. No other state has this person registered on the FCR with a verified SSN. Inform the worker, if a caseworker submitted the query; otherwise, annotate record or indicate result in history file.
TE001	Invalid record identifier.	Submit with corrected record identifier. 
TE002	Action Type Code invalid.	Submit with corrected Action Type Code. 
TE005	Case ID required.	Submit record including valid Case ID, not equal to zeros or spaces. Resubmit record without the asterisk and/or backslashes 
TE033	Invalid value for SSN. SSN must be spaces or nine digits greater than zero and not equal to all sixes or all nines.	Resubmit the query with a valid SSN in the SSN field.
TE035	Member ID or valid value for SSN required.	Resubmit the query with a valid SSN or a valid member ID.
TW018	FIPS code must be numeric or spaces.	Submit correct numeric FIPS code. 

### 7.4.2.3 FS – FCR Person/Locate Request Acknowledgement/Error Record

This record is returned to the submitter at least once for each FCR Input Person/Locate Request Record (FP). Records submitted that require SSN verification are returned once through the FCR Routine Batch Response, and again through the FCR Pending Resolution Batch Response, if previously held.

Persons accepted on the FCR with unverified SSNs are not subject to proactive matching, FCR Queries or locate processing.

The returned record includes all the information received from the submitter and applicable acknowledgement, warning, or error codes. Additionally, new or changed data will be returned to the submitter. Returned information is described below.

Chart 7.4.2.3-1 lists information that may be returned in FCR Person/Locate Request Acknowledgement/Error records along with suggestions for processing when the specified information is returned. This chart may be helpful in state design discussions.

<b>Chart 7.4.2.3-1 Processing Information Returned in FCR Person/Locate Request Acknowledgement/Error Records</b>	
<b>Returned Information</b>	<b>State Processing Options</b>
Date of Birth	<ol style="list-style-type: none"> <li>1. Read SSA Date of Birth Indicator to determine whether a new DOB was returned.</li> <li>2. Accept new DOB obtained from SSA records as verified information. OR Accept new DOB for CP, NCP, PF, but inform worker if a child's DOB is changed. Consider notifying worker for CP, NCP, and PF date changes only if the date change is outside of a predetermined date range as this may indicate the wrong person or wrong SSN was identified. Automatically generate notice to CP asking for resolution of DOB discrepancy. DOB discrepancy can also affect the emancipation date for a child. Automatically generate notice to CP asking for resolution of the child's DOB discrepancy. OR Inform worker to resolve child's DOB discrepancy.</li> </ol>
SSN Validity Codes	<ol style="list-style-type: none"> <li>1. Returned SSN Validity Codes help in assessing SSN reliability. The most reliable code is 'V' – The SSN and Name combination submitted by the state was verified by SSA SSN verification routines. Other codes should be considered reliable depending upon the accuracy and completeness of the information provided when the person was submitted to the FCR. The SSN codes returned by the FCR are: V – SSN and Name combination submitted for the person was verified by SSA's SSN verification routines. C – SSN submitted for the person was corrected. P – SSN was not submitted, or the SSN submitted for the person did not pass verification edits, but the FCR was able to provide an SSN using SSA's automated Alpha Search routine. E – SSN and Name combination submitted for the person could not be verified or corrected, but the additional person data provided allowed the FCR to identify an SSN using SSA's automated ESKARI routines. R – Multiple possible SSNs for the person were identified by SSA's automated ESKARI routines. The SSN was selected via manual intervention (i.e., the "Requires Manual Review" process). S – The SSN was identified using the IRS-U process and IRS</li> </ol>

<b>Chart 7.4.2.3-1 Processing Information Returned in FCR Person/Locate Request Acknowledgement/Error Records</b>	
<b>Returned Information</b>	<b>State Processing Options</b>
	<p>records. This process attempts to find the SSN of the person who filed a joint return with the person whose SSN was submitted (i.e., the 'IRS-U' SSN.) Any SSN identified by the IRS-U process is independently verified by the FCR using SSA's SSN verification processes.</p> <p>Space – The SSN provided could not be verified, or there was no SSN provided by the state and the FCR could not identify the SSN. Write Diary event of the returned info/warnings.</p> <ol style="list-style-type: none"> <li>2. The SSN returned is considered valid if the SSN Validity Code is 'V', 'C', 'P', 'E', 'R', or 'S'.</li> <li>3. Determine whether other data discrepancies were identified in the SSN process. For example, was a new DOB identified?</li> <li>4. If the SSN returned is different from the SSN used for income withholding, inform the worker to determine whether the income-withholding notice should be revised.</li> </ol> <p><i>Note: If the acknowledgement code is 'AAAAA' and the SSN Validity Code field returns spaces, the person was added to the FCR as unverified and will not be subject to proactive matches, locate requests, and, FCR Queries will return only in-state information. If the acknowledgement code is 'REJCT', the person was not added to the FCR. The person should be resubmitted as a new Add Person record when additional identifying information becomes available.</i></p> <p><i>Note: It is advisable for the state system to have a place to store multiple SSNs, since some individuals may be known by more than one SSN. State systems should have the ability to store the FCR Primary SSN in one of the SSN fields.</i></p>
<p>Corrected or Provided SSN</p> <p><b>This number is stored as the Primary FCR SSN</b></p>	<p>All FCR communication should include the FCR Primary SSN. The Corrected or Provided SSN will be reported as the FCR Primary SSN. The Corrected or Provided SSN field is blank when the SSN is not corrected or provided by SSA.</p> <ol style="list-style-type: none"> <li>1. The SSN returned is considered valid if the SSN Validity Code is 'C', 'P', 'E', 'R', or 'S'.</li> <li>2. Inform worker if the SSN provided is different from other numbers associated with the person.</li> </ol> <p>OR</p> <p>Write report of new SSNs detected so that a centralized locate unit can research.</p> <p><i>Note: Do not overwrite current SSNs with new SSNs being provided. Workers should review the new SSN and, using programmatic guidelines, determine the SSN to be used in the state system.</i></p>
<p>Multiple SSNs provided</p>	<p>Store new SSNs as multiples provided by FCR.</p> <p>OR</p> <p>Write report of new SSNs provided so that a centralized locate unit can research.</p> <p><i>Note: Multiple verified SSNs are rare. These only occur when a person has been issued more than one SSN from SSA. Generally, this occurred prior to automation of SSN issuance.</i></p>

Chart 7.4.2.3-1 Processing Information Returned in FCR Person/Locate Request Acknowledgement/Error Records	
Returned Information	State Processing Options
Date of Death	For the initial match, generate a report. For ongoing and monthly matches returned, alert the worker or store the information so that the worker can review it. Date of Death information should not be considered as verified data unless the participant is a beneficiary of SSI or SSA benefits.
SSA Zip Code of Last Residence	Store the zip code in order to locate potential assets. Include in the alert.
SSA Zip Code of Lump Sum Payment	Store the zip code in order to locate potential assets. Include in the alert.
FCR Primary SSN	Store the FCR Primary SSN. This SSN is the FCR key and should be included in all communications and inquiries. <b>Note: Allow no worker changes to this data element.</b>
FCR Primary Name	Store the FCR Primary Name. This name is used by the FCR and should be included in all communications and inquires. <i>Note: If the state system stores the FCR Primary Name as a distinct data element, allow no worker changes to this data element.</i> <i>Likewise, it is not appropriate to systematically use the FCR Name to overwrite the name being used by the person. A CP, for example, could have married and failed to notify SSA of her name change. If bank and legal records use the married name, changing the CP's name on the state system to the SSA name could be problematic for the CP.</i>
SSA City of Last Residence	Store the city of last residence.
SSA State of Last Residence	Store the state of last residence.
SSA City of Lump Sum Payment	Store the city of lump sum payment.
SSA State of Lump Sum Payment	Store the state of lump sum payment.

Chart 7.4.2.3-2 lists error codes and warnings that may be returned in FCR Person/Locate Request Acknowledgement/Error records along with suggestions for processing when the specified code is returned. **Refer to Appendix J of the Interface Guidance Document for a full description of the error and warning message(s).** This chart may be helpful in state design discussions.

Chart 7.4.2.3-2 Processing Errors/Warnings Returned in FCR Person/Locate Request Acknowledgement/Error Records		
Error Code	Description	Suggested Processing
LE001	LE001 is returned in response to a locate request. Information cannot be disclosed because the person has an FVI.	If a caseworker initiated the locate request, inform the worker; otherwise, show FVI in the diary or history.

<b>Chart 7.4.2.3-2 Processing Errors/Warnings Returned in FCR Person/Locate Request Acknowledgement/Error Records</b>		
<b>Error Code</b>	<b>Description</b>	<b>Suggested Processing</b>
LE002	SSN submitted is unverified.	Set record indicator that SSN could not be verified or identified. Inform worker, if the worker initiated the action.
LE003	This Locate Request Type is inconsistent with the person for whom information is sought.	Return error message to the worker, if the worker initiated action; otherwise, check system programming. 
LE004	Locate Request Type 'CS' invalid for 'CH' (child). Locate Request Type 'CS' valid for 'CP', 'NP', or 'PF'.	Return error message to the worker, if the worker initiated action; otherwise, check system programming. 
LE007	Terminate locate action attempted, but there is no locate action open on this person for the requesting state.	SCR out of sync with FCR or the input record is incorrect. Check system programming. 
LE008	Locate Request for SVES only. SVES is unavailable due to a missing/invalid DOB.	 Submit record with missing/invalid DOB.
LE009	This Locate Request duplicates an existing Locate request.	Informational, to stop receiving this error, the locate request processing should create an entry in the state's audit processing and interrogate the audit file to see whether there is still an outstanding locate prior to issuing another Locate Request.
LW002	The Locate Source requested is not valid for this Locate Request Type.	Inform the worker, if the worker initiated the action; otherwise, check system programming. 
LW004	The locate request on this person transaction duplicates an existing locate request.	To stop receiving this error, the locate request processing should create an entry in the state's audit processing and interrogate the audit file to see whether there is still an outstanding locate prior to issuing another Locate Request. 
LW003	Locate Request for SVES data and information from other locate sources. SVES is unavailable due to a missing/invalid DOB.	 Submit record with missing/invalid DOB.

Chart 7.4.2.3-2 Processing Errors/Warnings Returned in FCR Person/Locate Request Acknowledgement/Error Records		
Error Code	Description	Suggested Processing
PE001	Child must be associated with CP, NP, or PF.	Determine why CP/NP/PF was rejected or not added. 1. If both adults are rejected, submit all the participants and case when new information is available. 2. Check to ensure that the program is systematically accepting and processing adds and changes correctly. 
PE002	Case ID does not match a submitter's case on the FCR.	SCR is out of sync with the FCR. Check to ensure input case has the correct case ID. Submit case or person, if appropriate. 
PE004	Person not found on FCR. SSN or Member ID does not match a person on FCR.	SCR out of sync with the FCR. Ensure the person was added to the FCR and that the FCR Primary SSN is being submitted. 
PE007	Person being added already exists, or Member ID previously used within that case.	SCR out of sync with FCR. The state is attempting to submit a duplicate add transaction. Acknowledgement records may not be processed correctly, or are being suppressed without use of a logical default at the state's end. 
PE008	Person Type change invalid.	Check to be sure that correct code has been assigned. For example, an adult cannot be changed to a child on the case. 
PE010	Case Type not valid for this Person Type.	Check that the correct code value has been assigned. One example of this error occurs when a case changes from IV-D to non IV-D and the case contains a person type 'PF'. Also, since case changes are processed at the FCR before participant changes, a simultaneous change to non IV-D and change of the PF to NCP may result in this error. 
PE011	Person previously deleted.	SCR is out of sync with the FCR. If person is deleted on SCR, review system programs to determine the cause of the problem. If person is not deleted on SCR, submit person. <i>Note: If a case is deleted, all the person records for the case are also automatically deleted. Likewise, if all persons on a case are deleted from that case, the case is automatically deleted.</i> 
PE012	Deleted person cannot be	SCR out of sync with the FCR. If person is not deleted

<b>Chart 7.4.2.3-2 Processing Errors/Warnings Returned in FCR Person/Locate Request Acknowledgement/Error Records</b>		
<b>Error Code</b>	<b>Description</b>	<b>Suggested Processing</b>
	updated.	on SCR, submit person as an 'Add'. 
PE013	Invalid change to the SSN. Unverified SSN submitted cannot replace verified SSN or unverified SSN.	An unverified SSN cannot replace an SSN considered verified by the FCR and cannot replace an unverified SSN. No information associated with an unverified SSN 'Change' transaction will be accepted unless the information provided verifies the SSN.
PW002	PW002 is returned in response to an add or change person transaction, if an FVI has been set by any state on the person. No proactive matching will occur on this person since disclosure is prohibited due to an FVI. Any future locate requests or queries will not be processed by the FCR.	If the FVI was set by the state adding or changing a person record, the caseworker need not be informed (i.e., the data already exists in the state system). If the FVI was set by another state, inform the worker that no proactive matching will occur. <i>Note: How an FVI is applied may be different from one state to another. No state should set an FVI on person records it has registered on the FCR based solely upon receipt of this warning message from the FCR that another state has protected a person record with an FVI. If a state decides to set an indicator on its state system based on another state's FVI, that indicator should be for internal use only and not transmitted to the FCR.</i>
PW003	FVI already present.	No action needed to update the FCR. Review system programs to determine why FVI was resubmitted. 
PW004	FVI not present for this verified SSN.	SCR may be out of sync with the FCR. Review system programs to determine why the FVI was not previously sent. State may have set an internal FVI based on an FVI from another state. 
PW006	Case closed on FCR because no CP, NCP, or PF records are associated with the case.	The last adult participant was deleted by the state and the case is now closed on the FCR. If the case should be open on the FCR, resubmit case and person records with as much identifying data as possible. If the case is closed on the SCR, no action is required. 
PW009	FVI previously removed from this person.	Review programs to determine cause of the warning. 
PW010	DOB was not changed because it is out of date range. The submitted birth year is not within plus or minus one year of the person's DOB in SSA records.	Read SSA Date of Birth Indicator to determine whether a new DOB was returned. Accept new DOB obtained from SSA records as verified information. OR Accept new DOB for CP, NCP, PF, but inform worker if a child's DOB is changed. Consider notifying worker for CP, NCP, and PF date changes only if the date change is outside of a predetermined date range as this may indicate the

<b>Chart 7.4.2.3-2 Processing Errors/Warnings Returned in FCR Person/Locate Request Acknowledgement/Error Records</b>		
<b>Error Code</b>	<b>Description</b>	<b>Suggested Processing</b>
		wrong person or wrong SSN was identified. OR Automatically generate notice to CP asking for resolution of the DOB discrepancy. Note that DOB discrepancy can also affect the emancipation date for a child.
PW011	Sex code of 'M' or 'F' cannot be changed for person with verified SSN.	Inform the worker if the change is for the CP, NCP, or PF. Identity of the person may be in question.
TE001	Invalid record identifier.	Submit with corrected record identifier. 
TE002	Action Type Code invalid.	Submit with corrected Action Type Code. 
TE004	Change action submitted with no changed FCR data.	Could indicate a problem with system generation of Change records or that the SCR left out the changed data. 
TE005	Case ID required for Add, Change and Delete actions and if Action Type Code is 'L' (Locate) and Locate Request Type is 'CS'.	Submit record including valid Case ID, not equal to zeros or spaces. If the case ID contains an asterisk or backslash for an add, change, locate or query transaction resubmit record without these special characters. 
TE010	Person Type required for non IV-D case.	Submit record with required Person Type codes. Person Type must be 'CH', 'CP', or 'NP' if the Case Type is 'N' and the Action Type Code is 'A'. Person Type 'PF' not allowed on Case Type 'N'. 
TE011	IV-D case transaction contains invalid Person Type codes. Add transaction requires CP, NP, CH, or PF. Change action requires CP, NP, CH, PF or spaces.	Submit with valid Person Type codes. 
TE012	Same state Case ID, SSN being added in same batch.	Need to research why case or person was duplicated in the batch submitted. 
TE013	FVI code is invalid for action requested.	Submit with correct code. 
TE014	Invalid code submitted for FVI.	Submit with correct code. 

<b>Chart 7.4.2.3-2 Processing Errors/Warnings Returned in FCR Person/Locate Request Acknowledgement/Error Records</b>		
<b>Error Code</b>	<b>Description</b>	<b>Suggested Processing</b>
TE015	Member ID required.	Submit with Member ID. 
TE016	Add or Locate actions require a valid DOB, SSN, or IRS-U SSN.	Submit with valid values. If valid values are not present in the record, and locate action was requested by the worker, inform the worker. 
TE017	New Member ID must equal spaces for Add, Locate, or Terminate Locate actions.	Review input programs. 
TE018	Change action must include SSN if Previous SSN is present.	Submit with SSN. 
TE019	Add, Change, and Locate actions require at least one alpha character for Primary First and Last Name.	Submit with valid name values. 
TE020	Add and Locate actions require valid Primary First Name. Change action requires Primary First Name when valid SSN or Previous SSN present.	Submit with Primary First Name. 
TE021	Add and Locate actions require valid Primary Last Name. Change action requires Primary Last Name when valid SSN or Previous SSN present.	Submit with Primary Last Name. 
TE022	Locate or Terminate Locate Action Types require valid Locate Sources, if the IRS-1099 field does not equal 'Y'.	Submit indicating valid locate sources. This error rejects only the invalid Locate Source. Other valid locate sources requested will continue processing. 
TE023	Add, Change, Locate, or Terminate Locate actions require IRS-1099 code of 'Y' or space.	Submit with valid IRS-1099 code. Other valid locate sources requested will continue processing. 
TE024	Not authorized to request IRS-1099.	See Program Manager to negotiate agreement with OCSE. Other valid locate sources requested will continue processing.
TE025	Invalid submitter for Locate Request Type.	Inform the worker, if the worker initiated the action; otherwise, a review of system edit requirements may be needed. 
TE026	Locate or Terminate Locate request action must have	Submit with valid Locate Request Type. Other valid locate actions requested will continue to process.

<b>Chart 7.4.2.3-2 Processing Errors/Warnings Returned in FCR Person/Locate Request Acknowledgement/Error Records</b>		
<b>Error Code</b>	<b>Description</b>	<b>Suggested Processing</b>
	Request Types of 'AD', 'CS', 'CV', 'LC', or 'PK'. Add or Change actions that specify locate sources require Locate Request Type of 'CS'.	
TE027	<ol style="list-style-type: none"> <li>1. IRS locate allowed only for 'CS' locate request types.</li> <li>2. Locate 'ALL' must be shown in Locate Source 1 field.</li> <li>3. An invalid locate source has been selected.</li> </ol>	<p>Inform worker if worker initiated unauthorized request for IRS data; otherwise, this may reflect a problem with the program.</p> 
TE028	When valid Locate Request Type is sent, Add or Change actions require valid locate sources.	<p>Submit with valid IRS-1099 Indicator or Locate Source codes.</p> 
TE036	Add Case action rejected and associated Add Person action failed.	<p>Correct the Add Case and Persons records that rejected and resubmit.</p> 
TE100	No SSN identified. Insufficient information provided to identify an SSN.	Set a flag on the system that an SSN was not identified by the FCR. A notice to the CP may be automatically generated to request additional person information that will aid in identification of SSNs.
TW001	IRS-1099 not allowed except for IV-D full service cases.	<p>Review input programs to correct the problem.</p> 
TW002	Birth State/Country Code invalid – Add, Change, or Locate request must contain valid FIPS code. Delete actions must have spaces.	<p>Review input programs to correct the problem.</p> 
TW003	<p>Invalid Sex Code. Sex code must equal 'M' or 'F' or space if Action Type is Add, Change, or Locate. Sex Code must equal 'M' or 'F' if the state submitted a valid first and last name, DOB, Birth State or Country, AND any of the required ESKARI combinations.</p>	<p>Submit with correct value.</p> 
TW004	DOB must be in format CCYYMMDD.	<p>Review input programs to correct the problem.</p> 

<b>Chart 7.4.2.3-2 Processing Errors/Warnings Returned in FCR Person/Locate Request Acknowledgement/Error Records</b>		
<b>Error Code</b>	<b>Description</b>	<b>Suggested Processing</b>
TW005	SSN must be spaces or nine digits greater than zero.	Review input programs to correct the problem. 
TW006	Locate actions do not allow values to be entered in Additional SSN.	Review input programs to correct the problem. No locates will be processed on the Additional SSN(s) submitted. 
TW007	Previous SSN must equal spaces for Action Type Add, Delete, Locate, or Terminate Locate. Only Change action allows entry of Previous SSN.	No action needed to update the FCR. Review input programs to correct the problem. 
TW008	Names must contain at least one alpha character or spaces for first, middle, and last names.	Correct the name. <i>Note: Imbedded spaces or special characters are not allowed.</i> 
TW009	Locate action does not allow Additional Name to be submitted.	Review input programs to correct the problem. No locates will be processed on the additional name(s) submitted. 
TW010	Delete action does not allow entry of IRS-U SSN.	No action needed to update the FCR. Review input programs to correct the problem. 
TW011	Additional Names not entered sequentially.	Submit Additional Names sequentially in the fields provided. (For example, do not submit Additional Name 1 and Additional Name 3, skipping the fields for Additional Name 2.) 
TW012	Additional SSN 1 and 2 are equal or Additional SSN is equal to the Primary SSN.	Review input programs to correct the problem. Delete duplicate SSNs, if appropriate. 
TW013	City of Birth must contain at least two alpha characters or spaces, and must not be entered for a Delete action.	Review input programs to determine the cause of the warning. 
TW014	Bundle FPLS Locate Results Indicator invalid. Not valid as of Jan 2005.	The Bundling Indicator is filler only and will always be read as an "N" – no bundling. 
TW016	Duplicated Locate Source.	Review input programs to correct the problem. 
TW017	Locate Sources not entered	No action needed to update the FCR. Review input

<b>Chart 7.4.2.3-2 Processing Errors/Warnings Returned in FCR Person/Locate Request Acknowledgement/Error Records</b>		
<b>Error Code</b>	<b>Description</b>	<b>Suggested Processing</b>
	sequentially.	programs to correct the problem. 
TW018	FIPS code must be numeric or spaces.	Submit correct numeric FIPS code. 
TW020	Entry of Last Name requires First Name. Entry of Middle Name or initial requires First and Last Name.	Submit with correct values. 
TW021	Additional SSNs must be consecutive.	Submit Additional SSNs in correct consecutive format. 
TW023	Delete action cannot include Father's name.	No action needed to update FCR. 
TW024	Delete action cannot include Mother's name.	No action needed to update the FCR. 
TW025	SSN and Previous SSN cannot be equal.	Submit with correct SSNs. 
TW101	SSA has not assigned SSN provided.	Inform worker and/or store the data.
TW102	SSN/Name combination unverified.	Inform worker and/or store the data.

### 7.4.3 FF – FCR Locate Response Record From FPLS

‘FF’ - FCR Locate Response Record - is sent in response to an FCR Input Person/Locate Request Record (FP) when the submitter designates ‘ALL’ or any of these locate sources: SSA, DOD, FBI, IRS (non-IRS-1099), or VA. These requests may be initiated either by automatic locate actions or the worker.

In determining what automatic actions can be taken with new locate (income, assets or address) information, some states assess the current case status. For example, if the NCP is regularly paying or has been served at the address in the state’s case record, the new address information is written to the case file, to be available to the worker if the NCP stops paying support or becomes unlocated. More automated responses to the data might include automatic generation of the income-withholding notice to the new income source or automatic generation of a postal verification notice to the new address.

However, in cases where the NCP is not paying, or the new address information is likely to be more recent than the information in the state’s case record, actions should be initiated which make use of the new information in obtaining and collecting child

support. State policies and procedures provide direction in handling new address information..

Chart 7.4.3 lists information that is returned in the FCR Locate Response Record along with suggestions for processing the returned information. This chart may be helpful in state design discussions.

<b>Chart 7.4.3 Processing FCR Locate Response Records</b>	
<b>Locate Responses</b>	<b>State Processing Options</b>
Locate Source Response Agency Code	This field identifies the source of the response. It should be stored along with the returned information.
Name Returned	This field identifies the name that was returned from the locate request. This information should be reflected on the screen or printout used to inform the worker of new information. The name reported should not overwrite existing names in the state system.
SSN	This field contains the SSN used by the FCR in the match. If the SSN and Name Returned fields do not match information maintained on the state system's record, the worker should review the information returned from the source before it is used.
Returned Locate Response Code of '02' Beneficiary Deceased or Date of Death.	Annotate the record. <i>Note: SSA reports a date of death when the beneficiary dies. This can be confusing when the SSA beneficiary is the parent of the FCR person. For example, if an adult child (NCP) is drawing Social Security on his/her father's account and the father dies, SSA reports the date of death on the adult child's record. In these few cases, it appears that the person, usually the NCP, is deceased, when it is actually the person's parent.</i>
New NCP/PF address provided from any source (DOD, OPM, FBI, IRS, SSA, VA).	<ol style="list-style-type: none"> <li>1. Write new information, along with the Date of Address, to the automated record as a locate lead.</li> <li>2. Check file to determine locate status.</li> <li>3. If NCP not located, or the address has not been previously checked, generate postal verification letter.</li> </ol>
New CP address returned from any source.	<ol style="list-style-type: none"> <li>1. Write new information to the state system record along with an indicator of the source.</li> <li>2. Send postal verification notice to verify that the new address is the current address. Send held documents or checks when the address is verified.</li> </ol>
NCP/PF information from DOD/OPM indicates NCP/PF is retired military or retired Federal employee.	<ol style="list-style-type: none"> <li>1. Write new information to the automated record as locate lead.</li> <li>2. Check file to determine employment/income status and whether an order is being established or enforced.</li> <li>3. If NCP current employment is not already known, generate income-withholding notice to designated agency. If PF income not verified already, generate income verification notice to designated agency.</li> </ol>

<b>Chart 7.4.3 Processing FCR Locate Response Records</b>	
<b>Locate Responses</b>	<b>State Processing Options</b>
Date of Death returned from FBI, SSA, or VA.	Inform worker, or set a flag on the system. <i>Note: SSA reports a date of death when the beneficiary dies. This can be confusing when the beneficiary is the parent of the FCR person. For example, if an adult child (NCP) is drawing Social Security on his/her father's account and the father dies, SSA reports the date of death on the adult child's record. In these few cases, it appears that the person, usually the NCP, is deceased, when it is actually the person's parent.</i>
NCP information received from Internal Revenue Service.	<ol style="list-style-type: none"> <li>1. Write new information to the automated record as locate lead.</li> <li>2. Store IRS name and information, if provided.</li> </ol>
NCP/PF information received from Social Security Administration.	<ol style="list-style-type: none"> <li>1. Write new information about benefits received to the automated record.</li> <li>2. Compare to information previously verified. If information already known, no other action needed.</li> <li>3. Check file to determine whether order is being established or enforced, or if paternity is being sought.</li> <li>4. Generate an income-withholding notice, if appropriate, for NCP. If PF benefits are not known, generate benefit verification document.</li> </ol>
NCP/PF benefit information received from Department of Veterans Affairs.	<ol style="list-style-type: none"> <li>1. Write new information about benefits received to the automated record.</li> <li>2. Compare to information previously verified. If information already known, no other action needed.</li> <li>3. Check file to determine whether order is being established or enforced, or if paternity is being sought.</li> <li>4. Generate an income-withholding notice, if appropriate, for NCP. If PF benefits are not known, generate benefit verification document.</li> </ol>
Incarceration information reported by Department of Veterans Affairs.	<ol style="list-style-type: none"> <li>1. Store information about incarceration.</li> <li>2. Send notice to penal institution to verify period of incarceration and whether inmate earns income from Work Release, or is the recipient of any other benefit.</li> </ol>
CP employment or benefit information reported from any source.	<ol style="list-style-type: none"> <li>1. Write information about the employment/benefit to the automated record, if CP income is used in guideline calculations or case is in process of review and adjustment.</li> <li>2. If needed for guideline calculations or review and adjustment, send verification notice to the employer or agency.</li> <li>3. If CP has undistributed collections, send notice to CP at employer's address.</li> </ol>
Returned FVI.	<ol style="list-style-type: none"> <li>1. Write information to the automated record.</li> <li>2. Inform worker, if worker initiated the request.</li> </ol>

#### **7.4.4 FN – FCR NDNH Locate/Proactive Match Response Record**

'FN' response record is sent to the submitter in response to an FCR Input Person/Locate Request Record (FP) when the submitter designates 'ALL' or the NDNH as a source to be searched. The 'FN' response record also is sent to the state or territory proactively when an NCP, PF, or CP on a IV-D case is added, or updated in some circumstances, on the FCR; or when the NDNH receives a new record that matches an NCP, PF, or CP on a IV-D case on the FCR.

This record is returned once for each UI record found (employee address), up to two times for each QW record found (one employer address and one employer optional address for income-withholding notices) and up to three times for each W-4 record found (one employer address, one employer optional address for income-withholding notices, and one employee address).

Ten States accept direct income withholding for UI benefits from other states. These states and their UI contacts are listed below. Each state's direct UI withholding requirements are also included. In order to fully automate income withholding when UI has been reported, it may be helpful to maintain a separate table within the state system that lists these states:

### **Georgia**

Contact: Barbara Whitlock (404) 656-7194

Address: Georgia Department of Labor  
Special Programs Unit  
148 International Boulevard, Room 900  
Atlanta, GA 30303

Requirement: Federal Income-Withholding Notice with a one time per person fee of \$52.00. There is no fee if a state sends the UI request to GA IV-D agency.

### **Massachusetts**

Contact: Eric Rowe (617) 626-6393

Address: Commonwealth of Massachusetts  
Department of Employment and Training  
Child Support Office – 1<sup>st</sup> Floor  
19 Staniford Street  
Boston, MA 02114

Requirement: Federal Income-Withholding Notice.

### **Michigan**

Contact: Arlee Colman (313) 456-2767

Address: Bureau of Worker's & Unemployment Compensation  
Cadillac Place  
Wage Record Unit – BPSU  
Suite 12-450  
3024 West Grand Blvd.  
Detroit, MI 48202

Requirement: Federal Income-Withholding Notice and a copy of the order.

### **Minnesota**

Contact: Jim Hegman (651) 282-6106

Address: Department of Economic Security  
Attn: Benefits Section  
390 North Robert Street

Saint Paul, MN 55101

As it is now, when an out-of-state request is received, someone in the SWA contacts the sender, and directs them to one of 6 process centers to handle the request. The request is then processed directly at the process center.

Requirement: Federal Income-Withholding Notice.

**New York**

Address: New York Department of Labor  
State Campus Office Bldg. 12  
P.O. Box 621  
Albany, NY 12440

Requirement: Income-Withholding Notice.

**North Dakota**

Contact: Jeff Gitter, (701) 328-1680  
Address: Job Service North Dakota  
P.O. Box 5507  
Bismarck, ND 58506-5507

Requirement: Federal Income-Withholding Notice.

**Ohio**

Contact: Kelley Barnes, Phone: (614) 466-8006, Fax: (614) 995-0156  
Address: ODJFS  
Child Support Unit  
P.O. Box 1618  
Columbus, OH 43216

Requirement: Income-Withholding Notice and a copy of the order.

**Pennsylvania**

Contact: Jacqueline Summers (717) 787-4789  
Address: Pennsylvania Department of Labor and Industry  
Bureau of Unemployment Compensation Benefits Allowance  
Room 605  
7<sup>th</sup> and Forster Street  
Harrisburg, PA 17121

Requirement: Pennsylvania Child Support Wage Attachment Form (UC-500 or UC505A)

**Wisconsin**

Contact: Fred Heil (608) 266-9999  
Address: State of Wisconsin  
Department of Workforce Development  
Unemployment Insurance Division  
201 East Washington Avenue  
P.O. Box 7905

Madison WI 53707-7905

Requirement: Federal Income-Withholding Notice.

**Wyoming**

Contact: Greg Olson (307) 235-3658  
 Address: State of Wyoming  
 Department of Employment  
 Employment Resources Division  
 Box 2760  
 Casper, WY 82602

Requirement: Federal Income-Withholding Notice.

Chart 7.4.5 lists some of the information that may be returned in FCR NDNH Locate/Proactive Response records along with suggestions for processing when the specified information is returned. This chart may be helpful in state design discussions.

<b>Chart 7.4.4 Processing FCR NDNH Locate/Proactive Match Response Records</b>	
<b>Responses</b>	<b>State Processing Options</b>
NDNH Match Type	<p>This code identifies the type of action that generated this response file.</p> <p>L – NDNH Locate Request Response.</p> <p>N – NDNH-to-FCR Proactive Response for new information added to the NDNH.</p> <p>P – FCR-to-NDNH Proactive Response for new add or change person information on FCR, or a case that becomes IV-D.</p> <p>Proactive information should generally be compared to available information on the case/person record to determine whether the information is new. Only new information should be acted upon or reported to the worker. However, if the worker initiated the locate request, the information returned may be reported to the worker.</p>
Locate Source Response Agency Code	<p>This code indicates the source of the locate information returned in the FCR Locate Response Record.</p> <p>H01 – NDNH response, data not available</p> <p>H97 – NDNH UI response</p> <p>H98 – NDNH QW response</p> <p>H99 – NDNH W-4 response</p> <p>The Locate Source Response Agency Code should be stored along with the returned information. Identify the specific source with the data returned. Use this code in conjunction with the NDNH Match Type to assess the reliability and freshness of the data.</p> <p><b>UI ('H97')</b></p> <p>NDNH-to-FCR proactive data ('N') – Current match with latest UI record received from a SWA. Data may be current or up to four months old.</p> <p><i>Note: SWAs report UI data one month following the end of the quarter in which UI benefits were claimed or paid. It is important to look at reported quarter to ensure the SWA did not report data out of sequence.</i></p> <p>FCR-to-NDNH proactive data ('P') – SWA records from the most recent quarter for which there are UI records reported; no records older than one year.</p>

<b>Chart 7.4.4 Processing FCR NDNH Locate/Proactive Match Response Records</b>	
<b>Responses</b>	<b>State Processing Options</b>
	<p>Locate response data ('L') – All SWA records received for the past year.</p> <p><b>QW ('H98')</b> NDNH-to-FCR proactive data ('N') – Current match with latest QW record received from a Federal agency or a SWA. If from a Federal agency, data is less than 30 days old from end of reported quarter. If from a SWA, data may be up to four months old from end of the reported quarter.</p> <p><i>Note: It is important to look at reported quarter to ensure quarterly wage records were not reported out of sequence either by an employer to the SWA, or by a SWA or Federal agency to the NDNH.</i></p> <p>FCR-to-NDNH proactive data ('P') – All records from SWAs or Federal agencies in the most recent quarter for which there are QW records for a person. Data may be current or up to a year old.</p> <p>Locate response data ('L') – Up to four quarters of the most recent QW records. Data may be current or up to one year old.</p> <p><b>W-4 ('H99')</b> NDNH-to-FCR proactive data ('N') – Current match, record less than 30 days old.</p> <p>FCR-to-NDNH proactive data ('P') – Up to 10 records reported by any state or Federal agency to the NDNH, none greater than six months old.</p> <p>Locate response data ('L') – All records received in the past year. Data may be current or up to one year old.</p>
SSN	<p>This field should be used in conjunction with the NDNH Match Type field, SSN Matched Indicator field, and the Corrected/Additional/Multiple SSN field to determine what type of SSN is returned.</p> <p>For proactive matches, this is the FCR Primary SSN used for all FCR communications.</p> <p>For a Locate request that transmitted a verified SSN, this is the verified SSN.</p> <p>For a Locate request that transmitted an SSN that could not be verified but was corrected, this is the unverified number submitted. (The corrected SSN was transmitted in the Acknowledgement record and also appears in the record as the 'Corrected/Additional/Multiple SSN'.)</p> <p>For a Locate request that did not transmit an SSN, but where an SSN was identified, this is the identified SSN.</p>
Corrected/Additional/ Multiple SSN	<p>This field should be used with the SSN Match Indicator to clarify the SSN that was used in the NDNH search.</p> <p>If the SSN Match Indicator = 'C', the corrected SSN appears in this field.</p> <p>If the SSN Match Indicator = 'M', or 'X', this field contains the Additional/Multiple SSN used in the match. (The SSN in this field will be different from the SSN in the SSN field.)</p> <p>If the SSN Match Indicator = 'V', the state submitted SSN was used in the match and no SSN appears in this field. The state submitted verified SSN appears as the FCR Primary SSN.</p>

<b>Chart 7.4.4 Processing FCR NDNH Locate/Proactive Match Response Records</b>	
<b>Responses</b>	<b>State Processing Options</b>
SSN Matched Indicator	<p>This field will contain one of the following codes to indicate if the SSN contained in the record is the State-submitted SSN, or a corrected or multiple SSN:</p> <p>C – Corrected SSN                      M – Additional/Multiple SSN                      V – State-submitted verified SSN                      X – Multiple SSN from a corrected SSN</p> <p>If this field is 'C', 'M' or 'X', the SSN used in the match will be in the Corrected/Additional/Multiple SSN fields.</p>
Address Indicator Type	<p>This code is sent for NDNH responses to indicate the type of address included in the record. One record is included for each type of address sent.</p> <ol style="list-style-type: none"> <li>1. Employer Address</li> <li>2. Employee Address</li> <li>3. Employer Optional Address</li> </ol> <p>Employer Optional Address is the address that should be used for income-withholding notices. If an Employer Optional Address is not provided, the Employer Address should be used.</p> <p>QW and W-4 addresses are useful in building the Employer Table. W-4 and UI provide NCP addresses that may be used in building an NCP address record. It is helpful to flag the source of the address.</p>
Date of Address	<p>This field contains the date the address was provided by the reporting agency. This date should be stored with the address so that the reliability of the address can be assessed.</p>
Locate Response Code	<p>The codes in this field add detail about the response:</p> <p>Space – Address information returned.                      06 – No information returned – Case is now non IV-D.                      10 – NDNH does not have the SSN on file.                      30 – SSN matched, no address returned.                      39 – Disclosure prohibited due to Family Violence Indicator.</p> <p>Care should be taken in using data returned with Locate Response Codes of 46 and 47 listed below. Check for an alias name that matches the returned name and annotate the record.</p> <p>46 – SSN matched but locate source name different from submitted name.                      47 – SSN matched, Quarterly Wage name incomplete or missing.</p>

<b>Chart 7.4.4 Processing FCR NDNH Locate/Proactive Match Response Records</b>	
<b>Responses</b>	<b>State Processing Options</b>
<p>NCP/PF/CP benefit information from UI providing:</p> <p style="text-align: center;">State Amount Reporting Quarter SSN Match Indicator Claimant Address</p>	<p>An NDNH Match Type 'N' (NDNH-to-FCR) is triggered by receipt of a new UI record in the NDNH. For an NDNH Match Type 'P' (FCR-to-NDNH), the UI records for the most recently received quarter are sent. The 'Reporting Quarter' provides help in assessing the value of this data. For a locate response with an NDNH Match Type 'L', all UI records for the past year are provided. While benefits may have expired or are nearing expiration, the locate information may still be of value.</p> <p>Since receipt of UI is not long term, first priority should be given to acting upon information obtained from NDNH-to-FCR matches. Use of UI information from the other matches may not generate the same return as NDNH-to-FCR matches. States should note that if the benefit amount is zero, benefits might not have been claimed during the reported quarter. If a claim is pending, or if the claimant's benefit year has not yet expired, it is possible that benefits will be claimed in the future. Sending an income-withholding notice may yield collections if/when the claimant begins to receive benefits. If benefits are denied, a claimant address may be of value for locate purposes.</p> <p><i>Note: If an NCP is receiving UI in another state, that SWA may require that the IV-D agency in the same state send the income-withholding notice. States generally honor UI withholding notices if their own state defines the UI agency as an employer, or the requesting state has entered into an agreement with their state agency to honor direct withholding notices. For more information, please refer to PIQ 99-04 and DCL 98-118. Currently, Georgia, Massachusetts, Michigan, Minnesota, New York, North Dakota, Ohio, Pennsylvania, Wisconsin, and Wyoming honor interstate Unemployment Insurance income-withholding requests.</i></p> <p><b>Returned NCP Data</b></p> <ol style="list-style-type: none"> <li>1. Annotate automated record with the returned information.</li> <li>2. If NCP is not currently paying support and withholding is authorized in the order, generate an income-withholding notice to the UI agency or generate a CSENet transaction to request income withholding. Annotate automated record with actions taken. OR If NCP is currently paying support; determine whether income withholding is appropriate based on state policies.</li> <li>3. If NCP is unlocated and address information is new, automatically generate postmaster verification.</li> </ol> <p><b>Returned PF Data</b></p> <ol style="list-style-type: none"> <li>1. Annotate automated record with the returned information.</li> <li>2. If separate documentation is required for guidelines computation, generate income-verification notice to the UI agency. Annotate automated record with actions taken.</li> <li>3. If postmaster verification is required for service-of-process by mail, automatically generate postmaster verification. Annotate automated record with actions taken.</li> </ol> <p><b>Returned CP Data</b></p> <ol style="list-style-type: none"> <li>1. Annotate automated record with the returned information.</li> <li>2. If separate documentation is required for guidelines computation, generate income-verification notice to the UI agency.</li> <li>3. If CP location is needed, send notice to Claimant Address. Annotate automated record with actions taken.</li> </ol>

<b>Chart 7.4.4 Processing FCR NDNH Locate/Proactive Match Response Records</b>	
<b>Responses</b>	<b>State Processing Options</b>
<p>QW data returned providing:</p> <p>Reporting State Employer Address Wage Amount FEIN SSN Match Indicator Reporting Quarter Reporting Federal Agency DOD Agency Status State EIN</p>	<p>For NDNH-to-FCR responses (NDNH Match Type 'N'), the QW records are no more than four months old from the end of the reported quarter, if provided by a state source; and less than thirty days old from the end of the reported quarter, if provided by a Federal agency. FCR-to-NDNH responses (NDNH Match Type 'P') provide the most recently received quarter of QW data in the NDNH. Locate responses with a NDNH Match Type of 'L' provide all QW records in the NDNH for the past year.</p> <p>QW response data may not provide as current employment information as provided by W-4 data, however, QW information is the best source of employment data for persons who have been continuously employed since being added to the FCR. For example, DOD has requested that states use an NDNH locate request to obtain wage records for the past year rather than sending DOD an employment verification request. Additionally, QW data is the only source of new income for reservists called up to active duty since DOD does not submit W-4s for this situation.</p> <p><b>Returned NCP Data</b></p> <ol style="list-style-type: none"> <li>1. Annotate automated record with the returned information. Take no other action if this information has previously been received.</li> <li>2. If NCP is not currently paying support and withholding is authorized in the order, generate an income-withholding notice to the employer. Annotate automated record with actions taken.</li> </ol> <p style="text-align: center;">OR</p> <ol style="list-style-type: none"> <li>3. If NCP is currently paying support, determine whether income withholding is appropriate based on state policies.</li> </ol> <p><b>Returned PF Data</b></p> <ol style="list-style-type: none"> <li>1. Annotate the automated record with the returned information. Take no other action if this information has previously been received.</li> <li>2. If separate documentation is required for guidelines computation, generate income-verification notice to the employer. Annotate automated record with actions taken.</li> <li>3. If PF is unlocated, send address request to the employer.</li> </ol> <p><b>Returned CP Data</b></p> <ol style="list-style-type: none"> <li>1. Annotate automated record with the returned information. Take no other action if this information has previously been received.</li> <li>2. If separate documentation is required for guidelines computation, generate income-verification notice to the employer. Annotate automated record with actions taken.</li> <li>3. If CP location is needed, send address request to employer. Annotate automated record with actions taken.</li> </ol>
<p>W-4 data returned providing:</p> <p>Reporting State Address Date of Birth Date of Hire FEIN</p>	<p>An NDNH Match Type 'N' (NDNH-to-FCR) is triggered by receipt of a new W-4 record in the NDNH. This information is highly reliable and should be processed as quickly as possible. For an NDNH Match Type 'P' (FCR-to-NDNH), up to ten W-4 records, none older than six months, may be returned. For a locate response with an NDNH Match Type 'L', all W-4 records in the NDNH received in the past year are returned.</p> <p><b>Returned NCP Data</b></p> <ol style="list-style-type: none"> <li>1. Annotate automated record with the returned information.</li> <li>2. For NDNH Match Type 'N', if NCP is not currently paying support and withholding is authorized in the order, generate an income-</li> </ol>

<b>Chart 7.4.4 Processing FCR NDNH Locate/Proactive Match Response Records</b>	
<b>Responses</b>	<b>State Processing Options</b>
<p>Reporting Federal Agency DOD Agency Status State EIN State of Hire</p>	<p>withholding notice to the employer. Annotate automated record with actions taken. OR If NCP is currently paying support, determine whether income withholding is appropriate based on state policies.</p> <p>3. For NDNH Match Type 'P' or 'L', compare new information with known employer information. If new information is different and NCP is not currently paying support and withholding is authorized in the order, generate an income-withholding notice to all employers. Annotate the automated record with actions taken. OR, If NCP is currently paying support, determine whether income withholding is appropriate based on state policies.</p> <p><b>Returned PF Data</b></p> <ol style="list-style-type: none"> <li>1. Annotate automated record with the returned information.</li> <li>2. Generate income-verification notice to the employer. Annotate automated record with actions taken.</li> </ol> <p><b>Returned CP Data</b></p> <ol style="list-style-type: none"> <li>1. Annotate automated record with the returned information.</li> <li>2. Generate income verification notice to the employer, if case is in review and adjustment process or if needed for guideline computations.</li> </ol>
<p>Person address information returned on W-4 file.</p>	<p><b>Returned NCP Data</b></p> <ol style="list-style-type: none"> <li>1. Annotate automated record with returned information.</li> <li>2. If NDNH match type is 'N', address should be considered verified and less than 30 days old.</li> <li>3. If NDNH Match Type is 'P' or 'L', and the address is different from the state's case record, generate postal verification notice. Annotate automated record with actions taken.</li> <li>4. If NCP is not paying, set an alert according to timeframes defined by the state for the worker to check on return of address verification. OR, If NCP is currently paying support, generate postal verification, but do not set alert.</li> </ol> <p><b>Returned PF Data</b></p> <ol style="list-style-type: none"> <li>1. Annotate automated record with returned information.</li> <li>2. If postmaster verification is necessary for service-of-process by mail, generate postal verification notice. Annotate automated record with actions taken.</li> </ol> <p><b>Returned CP Data</b></p> <ol style="list-style-type: none"> <li>1. Annotate automated record with returned information.</li> <li>2. Generate postal verification notice, if location of the CP is required. Annotate automated record with actions taken.</li> </ol>
<p>FEIN and State EIN</p>	<p>Update Employer Table with new employer, and/or new addresses and income-withholding addresses.</p>

## Best Practices



Some states elect to send automatic income-withholding notices to employers when wages are reported, even though the NCP is currently paying support. Those states have found that generally the NCP has changed jobs. Any delay in sending the income-withholding notice would have caused an unnecessary delay in the CP getting support owed. In cases where the new employment is from a second job, the NCP and the employer are able to avoid an overpayment by working together to withhold only the amount needed to completely satisfy the monthly support obligation. States have found that fully automating this process has eliminated delay in CP receipt of support and has increased collections.

### 7.4.5 FT – FCR Query/Proactive Match Response Record

'FT' response record is sent in response to an FCR Input Query Record (FR). It is automatically sent to a state or territory when person information is added or changed and the person is registered by that state on the FCR. The record provides information regarding cases and associated case persons.

## Best Practices



A CSENet 2000 CSI transaction should not be initiated automatically whenever there is an FCR-to-FCR Proactive Match. Edits should be in place to assess the need for information from the other state. Before CSENet CSI transactions are initiated, the state should assess whether there is a current information exchange with the other state and/or if there is a need for information from the other state. For example, if the NCP is under an order and is regularly paying support, there is likely no need for information from another state. Certainly, if a case is already a two-state case with the state identified by the FCR, a CSI transaction is not needed. If location information only is required for the NCP/PF, a L01 transaction may be more appropriate.



Provide the capability to send a L01 request from the same screen as a CSENet 2000 CSI transaction.

Chart 7.4.6 lists information that may be returned in FCR Query/Proactive Match Response records along with suggestions for processing when the specified information is returned.

**Chart 7.4.5 Processing FCR Query/Proactive Match Response Records**

Responses	State Processing Options
<p>Action Type Code</p>	<p>This field is coded to indicate the action that generated this response:            C – Proactive FCR Response for a Case Add, Change, or Delete            D - SSA Date of Death File Update            F – FCR Query Response            P – Proactive FCR Response for a Person Add, Change of Delete.            These codes aid in determining how the responses should be handled and in assessing the usefulness of the data. FCR query responses should generally be returned to the worker who initiated them, since case processing may be pending a response.</p>
<p>Response indicates person or associated person(s) in another State or territory and provides:</p> <p>Matched Case Type            Matched Person Name            Matched Order Indicator            Matched Person Type            Matched Member ID            Associated Persons            1-2-3</p>	<p>If the worker requested the information, the response files have a higher priority and should be returned to the worker. When a match is detected, assess interstate information to determine whether the FCR reported case has all the same persons in the same role as on the state system.</p> <p>A. If only the NCP/PF matches the state's case take these actions:            1. Annotate record with information from the other state(s).            2. Determine whether additional information is needed for case processing to continue. (i.e., NCP in locate or not paying) If no information is required, no other action is needed.            3. If additional information is needed, automatically generate L01 to the other state.            OR            Inform worker of new information so appropriate notices can be manually generated.</p> <p>B. If all persons match the state's case, take these actions:            1. Annotate record with information from the other state.            2. Review the Other State(s) Case Number(s) on the state system and make corrections, as needed.            3. Assess interstate indicator codes on the state system to determine whether the case in another state is known. If known, no other action needed.            4. If case in another state cannot be confirmed as known in the case record and/or information is needed for case processing to continue, send a CSENet 2000 CSI transaction.</p> <p>C. If only the CP is a match in the state's case:            1. Annotate record with information about the other state.            2. Assess whether information is required for case processing (i.e., returned checks that cannot be delivered).            3. If information is required, inform worker to issue inquiry to the other state.</p> <p>D. If only the child is a match in the state's case:            1. Annotate the case record with the other state information.            2. If paternity or order establishment is being sought for the child, inform the worker.</p> <p>E. If the match is with a non IV-D person/case in another state:            1. Annotate record with new match state.</p>

<b>Chart 7.4.5 Processing FCR Query/Proactive Match Response Records</b>	
<b>Responses</b>	<b>State Processing Options</b>
	<ol style="list-style-type: none"> <li>2. Determine whether additional information is required for case processing to continue.</li> <li>3. If additional information is required, issue CSENet 2000 CSI transaction or contact the other state.</li> </ol>
Matched Person Date of Death	If the SSA Date of Death indicator equals 'D', this field will contain '99999999' to indicate SSA is removing erroneous date of death. Advise worker that SSA death information has been deleted.
Proactive NCP/PF state code returned when another state added same person.	<p>State code returned for NCP/PF already on FCR in another state.</p> <ol style="list-style-type: none"> <li>1. Annotate automated record with the returned information.</li> <li>2. Assess case data to determine whether the NCP/PF locate information is required. If not, take no other action.</li> <li>3. If NCP/PF location is unverified, generate notice (Locate Data Sheet or L01) to the new state requesting information.</li> </ol>
Case persons/order found in another state's case	<p>Case found in another state.</p> <ol style="list-style-type: none"> <li>1. Annotate record with information from the other state.</li> <li>2. Assess codes to determine whether the case in another state is known. If the record is coded to indicate the case is known to have a corresponding case in the other state, take no other action.</li> <li>3. If the case record does not indicate an association with another state, information is needed for case processing to continue, and the case persons are the same, automatically generate the CSENet 2000 CSI referral.</li> </ol>
SSA Date of Death Indicator	<p>According to state procedures, advise the caseworker or store the information for all Action Types. Action Types include:</p> <p>A - Date of death received from SSA's records. C - Previously reported date of death from SSA's records is being changed. D - Previously reported date of death from SSA's records is being deleted.</p>
SSA City of Last Residence	Store the city of last residence.
SSA Zip Code of Last Residence	Store the zip code of last residence.
SSA City of Lump Sum Payment	Store the city of lump sum payment.
SSA State of Lump Sum Payment	Store the state of lump sum payment.
SSA Zip Code of Lump Sum Payment	Store the zip code of lump sum payment.
Person Delete Indicator	If this is an initiating or responding case, send MISC CSENet transaction to other state to determine why the case closed/person deleted. Alert the worker to send a CSENet transaction, if CSENet process is not automated.

#### **7.4.6 FW – FCR DMDC/Proactive Match Response Record**

An 'FW' response record is sent to the submitter as a result of a quarterly data match with DMDC. This request is automatically initiated for states and territories during the first month of each quarter using case and participant data on the FCR as described in Section 7.3.3 "How the FCR Can Help with Medical Coverage Information."

One record is returned for each child SSN for which matched medical coverage information is found.

<b>Chart 7.4.6 Processing FCR DMDC/ Proactive Match Response Records</b>	
<b>DMDC Responses</b>	<b>State Processing Options</b>
<p>CH First Name</p> <p>CH Middle Name</p> <p>CH Last Name</p>	<p>This information should be used to ensure that the correct person has been identified by DMDC. The worker should be advised about discrepancies between this information and information on the case record.</p>
<p>CH Medical Coverage Indicator</p>	<p>This field indicates the child's medical coverage sponsor. The NCP, CP or PF is or was the sponsor for the child's current or previous medical coverage. Or, someone other than the NCP, CP, or PF is, or was, the sponsor for the child's current or previous medical coverage.</p>
<p>CH Medical Coverage Begin Date</p>	<p>This is supplied by DMDC and contains the date that the child's medical coverage started. Update the automated system with this information and check to ensure medical support is included in the child support order.</p>
<p>CH Medical Coverage End Date</p>	<p>This is supplied by DMDC and contains the date that the child's medical coverage ended, or will end. If the coverage has ended, update case data and evaluate next case action.</p>
<p>NCP Medical Coverage Indicator</p>	<p>This field contains a value to indicate whether the NCP is a military member with medical coverage. Military members include active duty military or reservists, retirees or special civilians. Use this information to annotate the medical sponsor for the child. If the child is not indicated as enrolled for medical coverage, refer the CP to the nearest RAPIDS Center.</p>
<p>PF Medical Coverage Indicator</p>	<p>This field contains a value to indicate whether the PF is a military member with medical coverage. Military members include active duty military or reservists, retirees or special civilians. Use this information to annotate the medical sponsor for the child. If the child is not indicated as enrolled for medical coverage, refer the CP to the nearest RAPIDS Center.</p>
<p>CP Medical Coverage Indicator</p>	<p>This field contains a value to indicate whether the CP is a military member with medical coverage. Military members include active duty military or reservists, retirees or special civilians. Use this information to annotate the medical sponsor for the child. If the child is not indicated as enrolled for medical coverage, refer the CP to the nearest RAPIDS Center.</p>

### 7.4.7 MC – FCR MSFIDM Response Record

An 'MC' response record is sent to the submitter in response to a data match with an MSFI. This request is automatically initiated for states and territories using the Federal Offset file. An open case on the Federal Offset file is considered eligible for MSFIDM if

the SSN and name combination is verified, an FV Indicator is not present, and the Offset Exclusion Indicator Type does not equal 'FIN' – exclude Financial Institution matches.

One record is returned for each SSN and account for which matched account information is detected. If multiple accounts are detected for a unique SSN, Case ID and Case Type Indicator, one match record is returned for each account.

Unlike IRS-1099 data, MSFIDM information should be considered verified information to be acted upon immediately. Some states have developed a document to accompany the levy, which is to be returned to the IV-D agency containing account balance information, other account holder information and the action taken by the financial institution. This type of documentation helps ensure that collections attributable to MSFIDM are tracked.

OCSE has developed skeleton code and provided it to states to aid in developing code for processing MSFIDM responses. This program may be used to support manual or automated handling of MSFIDM responses. The program can generate a report in states in which MSFIDM responses are handled manually, or the program may be modified to create document generation triggers that automatically issue attachments. In addition to printing a report that displays the financial institution and account information, the program generates an audit file to track when an attachment is issued. The audit file requires updating when the document is issued and again when monies are received from the financial institution.

Other modifications to the skeleton code that are required include:

1. Adding the arrearage amount;
2. Ensuring that the threshold for attachments is met; and
3. Adding the Member ID for the participant.

To receive a copy of the skeleton code, contact the FCR State TS Liaison, or Ken Nesbit at (703) 345-8102.

Chart 7.4.7 lists information that may be returned in the FCR MSFIDM Response records along with suggestions for processing when the specified information is returned. This chart may be helpful in state design discussions.

<b>Chart 7.4.7 Processing FCR MSFIDM Response Records</b>	
<b>MSFIDM Responses</b>	<b>State Processing Options</b>
MSFI Last Name Control MSFI TIN	This information should be used to ensure that the correct person has been identified by the MSFI. The worker should be advised about discrepancies between this information and information on the case record.
MSFI Address MSFI Matched Account: Payee Street Address City	<ol style="list-style-type: none"> <li>1. The response file returns available address information from the MSFI account. If the address is the same as the address in the state's record, no action is needed.</li> <li>2. If the NCP is not located, generate a postal verification notice for the address provided.</li> </ol>

<b>Chart 7.4.7 Processing FCR MSFIDM Response Records</b>	
<b>MSFIDM Responses</b>	<b>State Processing Options</b>
State Zip Code	OR Advise the worker of the new address provided. OR Write a report of new address information.
MSFI Account Balance	All institutions may not provide this information. Action can proceed in the absence of the balance. The balance shown may be a positive (+) or negative (-) amount.
MSFI Other Account Name MSFI Payee Indicator	These fields combine to provide account holder information. The MSFI Payee Indicator values are: 0 – The SSN matched the account owner who is the sole owner. 1 – The SSN matched the secondary account holder. 2 – The SSN matched the primary account holder and there are secondary account holder(s) on the account.  The Other Account Name is the secondary account holder. However, if the match was made on the secondary account holder, the primary account holder's name is returned. Ensure that this information is reflected on the related inquiry screens or reports. Such information is useful should the obligor indicate that the account is not solely his/hers.
MSFI Matched Account Location State Code	This returns the alphabetic state code of the state holding the account. Review the Freeze and Seize Matrix provided in DCL-99-90 for information about how each state processes liens and seizures. This matrix may also be found in the Intergovernmental Referral Guide (IRG).
MSFI Matched Account Status Indicator	No freeze-and-seize processes should be initiated against a closed account; however, address information should be stored.
Account balance and institution information provided: MSFI Match Yr/Mo MSFI Name MSFI Address MSFI Payee Account Number	Sufficient account information and information identifying the financial institution is transmitted in the Response file. Each state has legislation directing how liens and account seizures should be processed after the account is identified. Options include: 1. Sending notification to the financial institution freezing the account. This may be automated in some states, but others may require workers to review the information before any notices are sent. 2. If the account is being held in another state, refer to the Freeze and Seize Matrix to determine whether the notice to the financial institution may be sent directly to the financial institution or should be transmitted through the other state's IV-D agency. 3. Sending notification, if required by state policy, to the NCP about the possible seizure. 4. Advise the worker about automatic actions taken.

### 7.4.8 FX – FCR Response Trailer Record

The 'FX' record is returned to the submitter at the end of batch transactions. This record provides record counts that are necessary to balance records sent to records received. Record counts include Header and Trailer records.

Note: Record counts include those Acknowledgement records suppressed via the Output Control Matrix. The overall record count will include the header and trailer record.

#### **7.4.9 RB – FCR Reconciliation File Header Record**

'RB' header records are returned at the beginning of each reconciliation and data inconsistency batch. Position 5 of the header record will contain an 'I' to indicate that it is a data inconsistency file, or position 5 will be a space if it is a reconciliation file. Both of these files are available to the states by request.

The Response Record Count does not include the Header or Trailer Records.

*Uses:*

The information contained in the reconciliation file is used to keep the FCR and SCR synchronized. The information contained in the data inconsistency file is used to assist the state in cleaning up erroneous information in the state system.

#### **7.4.10 RD – Case Reconciliation Record**

'RD' records reflect what is stored on the FCR. These records are supplied to the states to be compared with the information on the state system. The state should address any differences by sending changes to the FCR on a Case Change record. States should send Case Change records if the state assigns all new case numbers within the state system. The proactive matches triggered by the Case Change records assist other states in keeping their interstate records synchronized with the state that implemented a new case numbering schema.

#### **7.4.11 RS – Person Reconciliation Record**

'RS' records reflect what is stored on the FCR that may be changed, along with the verification code for the SSN/Name combination. 'RS' records are supplied to the states to be compared with information on the state system. The state should send a Person Change record to correct differences that need to be corrected. If the state discovers that a person record has been registered on the FCR incorrectly (i.e., wrong SSN/name/DOB combination), the state should send a Person Delete record. A new Person Add record may be sent to register the correct person. The following errors are supplied with the 'RS' Person Reconciliation record.

<b>Chart 7.4.11 Processing Person Reconciliation Record</b>		
<b>Error Code</b>	<b>Description</b>	<b>Suggested Processing</b>
LE001	Information cannot be disclosed because person is associated with an FVI.	Informational only. LE001 is returned if any state has set an FVI on the person. If the state receiving the reconciliation file set the FVI, 'FV' appears in the person record. If another state set the FVI, spaces appear in the FVI field in the person record.
TW102	SSN/Name combination unverified.	Informational only. No proactive matching, locate requests, or queries are performed for unverified person records.

### 7.4.12 RC – Data Inconsistency Record

'RC' records indicate information on the FCR that may be incorrect for a person. The records contain identifying information about the person in question, including Member-ID, SSN, Name, along with warning messages that indicate the exact nature of the inconsistency. The warning messages are as follows:

<b>Chart 7.4.12 Processing RC-Data Inconsistency Records</b>		
<b>Error Code</b>	<b>Description</b>	<b>Suggested Processing</b>
IW001	The Participant Type is 'PF' (Putative Father) and the Order Indicator is 'Y' (The state system has a record of the existence of a child support order.)	Submit corrected information.
IW002	The Participant Type is 'CP' (Custodial Party), 'NP' (Non-custodial Parent) or 'PF', and the person's age is less than 11 years.	Determine whether information on the FCR is correct. If not, submit corrected information.
IW003	The Sex Code is not 'F' (female) or 'M' (male).	Submit corrected information.
IW004	The Participant Type is 'PF' and the Sex Code is 'F'.	Submit corrected information.

### 7.4.13 RX – FCR Reconciliation File Trailer Record

The 'RX' record is returned to the submitter at the end of Reconciliation or Data Inconsistency file. This record provides record counts that are necessary to balance records sent to records received. Record counts do not include Header and Trailer records.

### 7.4.14 – FCR Options Matrix

The Federal Parent Locator Service (FPLS) provides state child support enforcement agencies with a significant amount of proactive match and locate information. With such a large amount of data to process, many states have taken advantage of the Federal Case Registry (FCR) data suppression and optional implementation capabilities by completing the FCR Options Matrix. This matrix allows states to suppress certain types of data, including some acknowledgement records and proactive match response records. The FCR Options Matrix is also used when states would like to receive additional FPLS information, such as SVES data, children benefit information, the FCR data inconsistency file and any Unscrubbed Address Data from the NDNH.

As state child support agencies continue to enhance their automated systems, it becomes increasingly important that states review the FCR Options Matrix and consider the options that would be best for them. Below is the matrix.

**Federal Case Registry Options Matrix Features Summary**

Title	Explanation of Option	Benefits and Recommended Use
FCR Acknowledgement Suppression and FCR-to-FCR Proactive Match Consolidation of Associated Member IDs	Option to suppress FCR input transaction Acknowledgement Records – State staff may set parameters based on their unique requirements and needs. Provides the ability to restrict some of the data returned by the FCR. Proactive Match Consolidation – Provides the state the option to suppress multiple FCR-to-FCR Proactive Match Records for the same person in the same case. Enables the state to restrict some of the data returned by the FCR.	<i>Suppression</i> – Advantageous if state staff establishes a logical default for records not returned. However, a logical default cannot be assumed if both accepted and pending acknowledgement records are suppressed. Suppression of both accepted and pending acknowledgements will not allow states to distinguish between records pending on the FCR from those that have been accepted. Reference TAG Section 7.4, <i>How to Work With Response Records</i> . <i>Consolidation</i> – Beneficial to states because it reduces the amount of redundant data returned to states by the FCR. States use this process to consolidate the information returned for a particular case and ease the programming burden so that there is less chance of storing duplicate information.
FCR Data Inconsistency File	Provides information on specific data inconsistencies for all active participants on IV-D cases with verified SSNs. Participants with an FV Indicator are excluded. This process allows corrections to be made to improve SCR and FCR data quality.	Beneficial in identifying data anomalies in person records that allow states to correct participant data within their system. The data anomalies identified in the FCR Data Inconsistency file include: person is identified as a PF but his case record indicates an order exists; person is identified as an adult member of a case but the person's age is less than 11 years old; person's sex code is

Title	Explanation of Option	Benefits and Recommended Use
		neither 'F' nor 'M', or person is identified as a PF but sex code is 'F'. This file is sent to states on a quarterly basis. Reference TAG Section 7.3.4, <i>How the FCR can Help with Case Clean Up</i> .
FCR Reconciliation File	Provides all case and person data stored on the FCR for a state. Enables state staff to verify their case and person information stored on the FCR.	Recommended that state staff request an FCR Reconciliation File once a year to facilitate synchronization between the SCR and FCR. This file returns case and person data stored on the FCR that may be compared to the SCR in an effort to stay in sync with the FCR. Additionally, the FCR Reconciliation file is helpful for states that have not regularly transmitted data to the FCR. The Reconciliation file is returned to states upon request. Reference TAG Section 7.3.7, <i>How to Stay Synchronized with the FCR</i> .
NDNH-to-FCR Proactive Match Return Same State Data	Provides the state the option to receive through the Proactive Match process all appropriate NDNH records, including those records the state sent to the NDNH. States may request all W-4, QW and UI records or any combination of the three record types.	Developed for those states that do not receive new hire data on a regular basis from their SDNH. This process allows states to receive W-4, QW and UI information in a more timely manner, which increases the possibility of locating an NCP and initiating income withholding orders more quickly.
NDNH-to-FCR Proactive Match Return Bad Address Data	Provides the option to receive incorrect addresses and the Address Scrubbing Code on NDNH Proactive Match responses. Some states feel the address is still useful, even though it failed address scrubbing.	Helpful as a last resort for address data. Many states expressed the need to receive the information maintained on the NDNH even if it is incomplete because it may result in a Locate lead. State systems should allow for the address scrubbing code so that caseworkers can see that there may be a potential problem with the address.
SVES/AWR Locate	State Verification and Exchange System (SVES) data expands the locate function of SSA as an external Locate source by providing states with access to Title II, Title XVI, Prisoner and Annual Wage Reporting information (W-2).	OCSE's daily interface with SVES provides information to states in a timelier manner than the current SSA external Locate interface. Title II and Title XVI records contain address information necessary for locating NCPs. Title II responses contain information regarding disability income and SSA benefits, which can be used to initiate income withholding orders. Title XVI responses include SSI benefits, which cannot be

Title	Explanation of Option	Benefits and Recommended Use
		<p>withheld for child support purposes. However, this data may be helpful to determine an order modification in the review and adjustment process. Prisoner data provided by SVES can be helpful in locating NCPs particularly if the NCP is incarcerated in another state. This data can be used to determine location, work status, and parole information. Information provided by the W-2 database includes a person's employment and self-employment information. Reference TAG Section 7.3.2.6, <i>Social Security Administration Locate Requests</i>.</p>
<p>NDNH 'CS' Locate Return Same State Data</p>	<p>Provides the state the option to have CS-type Locate Requests return NDNH data that their own state submitted.</p>	<p>Used by states as a backup for proactive matching. States may submit NDNH Locate Requests to receive W-4, QW and UI information. Prior to this enhancement, the CS locate request type returned QW records provided by Federal agencies and other states, and IRS and Project 1099 data. Now states may request a CS locate type and receive this same information, in addition to their own state's data. This is helpful for those states that do not store QW and UI information as provided by their State Employment Security Agency (SESA) and for those states that can receive new hire data more quickly from the FPLS than from their SDNH.</p>