



# Model Tribal System

Designed By Tribes, For Tribes

## Model Tribal System System Specification

Version 2.0

May 18, 2010



**Department of Health and Human Services  
Administration for Children and Families  
Office of Child Support Enforcement**

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## OVERVIEW

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This document is intended to describe the system specifications for the for the Model Tribal Child Support Enforcement (MTCSE) system. It is not intended to define requirements for tribal IV-D child support systems, nor should it be interpreted as doing so. This document results from the 2004 Tribal Systems Workgroup review of the *ACF Automated Systems for Child Support Enforcement: A Guide for States* (updated August 2000) for applicability to tribal automated systems.

## GENERAL SPECIFICATIONS

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### SYSTEM CHARACTERISTICS

The MTCSE will be a *comprehensive system* for child support enforcement. A *comprehensive system* performs all functional requirements specified in Federal Tribal IV-D regulations and guidelines. Additionally, a comprehensive system will be easily modifiable to electronically interface with other agencies' and organizations' systems when appropriate -- Federal, State, Tribes or Tribal organizations, and private entities -- to improve program management and operations.

The MTCSE will be an *operational system*. To be considered an *operational system* by ACF:

- The system will contain, with respect to each open case in the Title IV-D program, all data necessary to manage the case and will be able to meet Federal reporting requirements.
- The system will contain the data necessary to meet all processing requirements. Tribes or Tribal organizations may exercise discretion regarding the use of individual data elements as long as all processing requirements are met.
- For converted cases, the system will be able to accept and maintain all historical data necessary to manage the case, currently and prospectively, including data necessary to process or take action on a case and the date of the most recent action that triggered the next appropriate program standards timeframe. Such historical data, including data necessary to meet Federal reporting requirements, may be converted to the system or otherwise maintained. However, readily available data should be converted in order to avoid duplicative efforts in maintaining multiple recordkeeping systems. Title IV-D cases closed prior to or during conversion should be retained in a form (e.g., magnetic tape, microfiche, paper files, etc.) that is easily accessible.
- The system will contain, for the period subsequent to conversion of a case, data necessary to manage the case, as defined earlier, and all data necessary to meet Federal reporting requirements.

The MTCSE will be an *efficient and effective system*. To be considered an *efficient and effective system* by ACF:

- The system's design will be integrated and appropriately apply computer technology.
- The system's design will not require duplicative application software development or application software maintenance.

The MTCSE will be an *integrated system*. To be considered an *integrated system* by ACF, certain principles apply.

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

## TERMINOLOGY

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

- *Case History*. A recorded history, in chronological order, of all activities pertaining to a case. All critical transactions entered to the system are automatically recorded in the case history file.
- *Caseworker Edits*. The system will not accept caseworker edits to system generated case history entries or manual entries once they have been submitted.
- *System Initiated Actions*. To the extent possible, the system will take the next appropriate case action without caseworker intervention. If a caseworker decision is needed, options can be automatically presented to the caseworker and a timeline for taking action established.
- *System Modification*. The system will be programmed in a manner that provides for modification with a minimal amount of effort.
- *X-Timeframe (TBD)*. A timeframe for action that will be set by each Tribe or Tribal organization while setting up the system for use.

## **MTCSE SYSTEM REQUIREMENTS**

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### **A. CASE INITIATION**

**A-1 OBJECTIVE:** The system will accept applications for services.

**Related Program Statutes and Regulations:**

45 CFR 309.85(a)  
45 CFR 309.95  
45 CFR 309.110  
45 CFR 309.160

**System Certification Requirements:**

- a. Upon receipt of a signed application for services, the system will maintain the date the signed application was received.

**A-2 OBJECTIVE:** The system will accept and process referrals from the Title IV-A (TANF) agency of the State, Tribe, or Tribal organization.

**Related Program Statutes and Regulations:**

45 CFR 309.85(a)  
45 CFR 309.95  
45 CFR 309.110  
45 CFR 309.160

**System Specification:**

- a. The system will accept referrals from the IV-A agency.
- b. The system will record in the case history the date the referral was received.

**A-3 OBJECTIVE:** The system will uniquely identify and edit various case types.

**Related Program Statutes and Regulations:**

45 CFR 309.80  
45 CFR 309.85

**System Specification:**

- a. The system will automatically establish unique numbers (i.e., case numbers and participant identification numbers) that allow for case identification and the linking of cases to multiple non-custodial parents and obligations.
- b. At a minimum, the system will be able to identify the following case types:
  1. Title IV-D
  2. Title IV-A

3. Non-IV-D: Cases maintained on the system, which are not recipients of IV-D services (e.g., payment processing-only type cases).

*Note: Although this system will support non-IV-D cases, Federal Financial Participation (FFP) is not allowable for these cases. A cost-allocation based on caseload must be performed to receive FFP.*

- c. The system will identify inter-governmental jurisdiction cases.

**A-4 OBJECTIVE:** The system will establish a case history for each application or referral.

**Related Program Statutes and Regulations:**

45 CFR 309.65(a)  
45 CFR 309.85  
45 CFR 309.95  
45 CFR 309.110  
45 CFR 309.160

**System Specification:**

- a. The system will accept and process information on each custodial parent, non-custodial parent, and child, and other information on the case, including any related orders, payments, or arrearages.
- b. The case history will provide a chronological record of actions taken, whether manual or automated.
- c. At a minimum, the system will maintain case history on-line for a period of X-Timeframe (TBD). Previous history may be stored off-line, as long as it is maintained in an automated manner for retrieval purposes.
- d. The case history will include data to allow the system to effectively monitor program time standards.

**A-5 OBJECTIVE:** The system will accept and maintain identifying information on all case participants.

**Related Program Statutes and Regulations:**

45 CFR 309.85

**System Specification:**

- a. The system will maintain identifying information about the non-custodial parent, including, at a minimum, the following:
  1. Name (including aliases and maiden name),
  2. Sex,
  3. Race (including a choice of “undisclosed”) if use is allowed by Tribal policy,
  4. Social Security Number and alias or aliases,
  5. Home Address including reservation address indicator,

6. Mailing Address including reservation address indicator,
  7. Date of Birth,
  8. Place of Birth (City, State, and/or reservation address indicator),
  9. Employer Information (name, address, Federal employer identification number (FEIN)),
  10. IV-D Participant Number,
  11. Military Service Information
  12. Information on receipt of Federal benefits, and
  13. Tribal enrollment and/or affiliation (including a choice of “none”).
- b. The system will maintain identifying information about the custodial parent, including at a minimum, the following:
1. Name (including aliases and maiden name),
  2. Sex,
  3. Race (including a choice of “undisclosed”) if use is allowed by Tribal policy,
  4. Social Security Number and alias or aliases,
  5. Home Address including reservation address indicator,
  6. Mailing Address including reservation address indicator,
  7. Date of Birth,
  8. Place of Birth (City, State, and/or reservation address indicator),
  9. Employer Information (name, address, Federal employer identification number (FEIN)),
  10. IV-D Participant Number,
  11. Military Service Information
  12. Information on receipt of Federal benefits, and
  13. Tribal enrollment and/or affiliation (including a choice of “none”).
- c. The system will maintain identifying information about the child(ren), including at a minimum:
1. Name (including aliases and maiden name),
  2. Sex,
  3. Race (including a choice of “undisclosed”) if use is allowed by Tribal policy,
  4. Social Security Number and alias or aliases,
  5. Home Address including reservation address indicator (or notation that it is same as the custodial parent),
  6. Mailing Address including reservation address indicator (or notation that it is same as the custodial parent),
  7. Date of Birth,
  8. Place of Birth (City, State, and/or reservation address indicator),

9. Father's Name,
  10. Mother's Name,
  11. IV-D Participant Number,
  12. Military Service Information,
  13. Information on receipt of Federal benefits.
  14. Paternity information, and
  15. Tribal enrollment and/or affiliation (including a choice of “none”).
- d. The system will maintain information that indicates whether a participant is subject to family violence as determined by Tribal policy.

## **B. LOCATE**

**B-1 OBJECTIVE:** The system will be easily modifiable to support electronic interface with all appropriate sources to obtain and verify locate, asset and other information on the non-custodial/putative parent or custodial parent. The system will support the generation of documents to support manual locate attempts.

### **Related Program Statutes and Regulations:**

- 45 CFR 309.85(a)
- 45 CFR 309.95
- 45 CFR 309.110
- 45 CFR 309.160

### **System Specification:**

- a. If an automated interface cannot be established for a specific source:
  1. The system will support the automatic generation of documents required to submit the case to the information source; and
  2. The system will provide an easily accessible means to enter into the case history all manual attempts to obtain information and their results.
- b. The system will automatically follow up when information is solicited and no response is received within a reasonable amount of time, based on Tribal experience. The system will:
  1. Re-access the source using an automated interface, if available; or
  2. Support the automatic generation of documents necessary to encourage a response or notify the caseworker as appropriate.
- c. The system will accept unsolicited locate information.

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

**Related Program Statutes and Regulations:**

45 CFR 309.85(a)  
45 CFR 309.95  
45 CFR 309.110  
45 CFR 309.160

**System Specification:**

- a. The system will, when locate action is required, be able to:
  1. Support the automatic submission of cases to all appropriate locate sources (whether automated or not);
  2. Track responses from each locate source, including verified address information;
  3. Support the tracking of information from manual locate sources;
  4. Record and maintain information on positive responses received from locate sources; and
  5. Forward cases to the next appropriate function when sufficient information is available.
- b. If caseworker action is required, the system will alert the caseworker of the needed action.
- c. The system will automatically follow up when information is solicited and no response is received after a reasonable amount of time. The system will notify the caseworker and support the generation of documents necessary to encourage a response
- d. Whenever key locate data elements are added or changed due to the receipt of new information, the system will immediately notify the worker to take action.

**C. ESTABLISHMENT**

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

**Related Program Statutes and Regulations:**

45 CFR 309.65(a)  
45 CFR 309.85  
45 CFR 309.95  
45 CFR 309.100  
45 CFR 309.110  
45 CFR 309.160

**System Specification:**

- a. The system will support actions for the establishment of paternity, for all cases in which paternity has not yet been established.

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

- b. The system will support, to the degree applicable, automatic generation of completed administrative or judicial documents which are required to establish paternity. The date and type of documents generated will be automatically entered in the case record.
- c. The system will periodically support the re-initiation of service-of-process for those cases where previous attempts have failed, but adequate information exists to attempt service-of-process.
- d. The system will support to the degree applicable, automatic generation of the required documents to petition the court or administrative authority to require case participants to submit to genetic testing.

**C-2 OBJECTIVE:** The system will automatically record, track, and monitor information on obligations, and will support the generation of documents to establish support.

**Related Program Statutes and Regulations:**

- 45 CFR 309.65(a)
- 45 CFR 309.85
- 45 CFR 309.95
- 45 CFR 309.100
- 45 CFR 309.105
- 45 CFR 309.110
- 45 CFR 309.160

**System Specification:**

- a. The system will monitor case activities to ensure that the following activities are completed within X-Timeframe (TBD) of the location of the alleged father or non-custodial parent regardless of whether paternity has been established:
  1. Complete service-of-process necessary to commence proceedings to establish a support order, and if necessary, paternity;
  2. Establish an order for support which may be based on a voluntary acknowledgment of paternity; or
  3. Document, in accordance with Tribal or Tribal organization procedures, unsuccessful attempts to serve process in accordance with the diligent effort guidelines of the Tribe or Tribal organization.
- b. The system will monitor and identify cases to support the review and modification procedures of the Tribe or Tribal organization.
- c. The system will support the automatic generation of required documents to establish an order of support or to serve process. The date and type of documents generated will be automatically recorded in the case record.

- d. The system will support the initiation of necessary actions to meet the Tribe's or Tribal organization's guidelines for diligent efforts to serve process. In particular, the system will periodically re-initiate service-of-process in cases where previous attempts have failed but adequate identifying information exists.
- e. The system will automatically record all critical system-initiated actions and accept entry of data regarding all actions taken outside the system. The system will not accept edits to system initiated actions or manually initiated actions once they have been submitted.
- f. If the court or administrative authority dismisses a support order petition without prejudice the system will support entry of the reason for dismissal into the case record. In such cases, the IV-D agency will determine a date when it would be appropriate to re-seek an order and enter this date into the case record. The system will support the automatic re-initiation action to obtain a support order at that time.

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

**Related Program Statutes and Regulations:**

- 45 CFR 309.65(a)
- 45 CFR 309.85
- 45 CFR 309.95
- 45 CFR 309.105
- 45 CFR 309.110
- 45 CFR 309.160

**System Specification:**

- a. In establishing the order, the system will maintain the results of the Tribe's or Tribal organization's approved child support guideline calculation.
- b. The system will maintain case data on the application of the guidelines for the required four-year guideline review.
- c. When an order is established, the following information will be recorded in the case record:
  1. Type of obligations (child, spousal, medical, arrearage-only),
  2. Date of order,
  3. Date adjusted (if adjusted),
  4. Amount of order,
  5. Payment frequency,
  6. Arrearage (if any),
  7. Method of payment (e.g., in-kind payments),
  8. Payment due date, and
  9. Issuing jurisdiction of order.
- d. The system will maintain a history of all previously established orders.

- e. The system will individually identify and link multiple obligations (support orders).
- f. The system will identify obligations as voluntary, administrative, or court ordered.
- g. The system will support generation of notices to the custodial parent (CP) and non-custodial parent (NCP) of all proceedings in which support obligations might be established or modified.

## D. CASE MANAGEMENT

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

**Related Program Statutes and Regulations:**

45 CFR 309.85  
45 CFR 309.95  
45 CFR 309.110  
45 CFR 309.160

**System Specification:**

- a. Upon case initiation, the system will provide an automated means to direct the case to the appropriate function, e.g., locate, paternity establishment, and initiate the appropriate case action.
- b. After each function is completed, the system will provide an automated means to direct the case to the next appropriate function and initiate the appropriate case action.
- c. To allow the tracking of compliance with program performance standards, the system will record in the case history:
  - 1. The date a case is moved into a specific function,
  - 2. The dates and actions taken within the function,
  - 3. The results of such actions including appropriate dates, and
  - 4. The date of referral to the next appropriate function.
- d. The system will track actions and dates to ensure that:
  - 1. All new cases requiring locate services are referred to the locate function (unit) within X-Timeframe (TBD) of receipt of the referral or filing of an application for services, and
  - 2. Incoming inter-governmental cases are automatically referred to the appropriate processing function within X-Timeframe (TBD) of receipt.

**D-2 OBJECTIVE:** The system will support the acceptance and processing of case updates and provide information to other programs on a timely basis.

**Related Program Statutes and Regulations:**

45 CFR 309.85

45 CFR 309.85  
45 CFR 309.110  
45 CFR 309.160

**System Specification:**

- a. The system will support acceptance and update of case information received from various sources, e.g. county attorney, caseworker, locate staff, IV-A, IV-E, Title XIX, etc.
- b. The system will perform initial edit/validation checks, including numeric and character checks and cross references, to ensure the accuracy and completeness of fields.
- c. The system will update common data elements in all linked case records.

**D-3 OBJECTIVE:** The system will support the update and maintenance in the case history of information, facts, events, and transactions necessary to describe a case and actions taken in a case.

**Related Program Statutes and Regulations:**

45 CFR 309.85  
45 CFR 309.95  
45 CFR 309.110  
45 CFR 309.115  
45 CFR 309.130  
45 CFR 309.160  
45 CFR 309.170

**System Specification:**

- a. Documents generated, critical data element changes, and all positive locate interface actions will be maintained in the case history.
- b. The system will accept entry of information on actions taken outside of the system by the caseworker.

*Note: Many worklist items, when accomplished, should be annotated in the case history to provide a complete historical record of activities related to a case. Event codes, preformatted narrative entries, or other means should be provided in the case history to identify telephone calls, visits, and other manual actions.*

- c. The system will not accept edits to system initiated actions in the case history.
- d. The system will not accept changes to manual entries in the case history once they have been submitted.

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

**Related Program Statutes and Regulations:**

45 CFR 309.85(a)  
45 CFR 309.95  
45 CFR 309.110  
45 CFR 309.160

**System Specification:**

- a. The system will perform case monitoring to ensure that case actions are accomplished within required timeframes. The system will track dates to ensure that the Tribal program timeframes for locate, paternity establishment, support order establishment, review and adjustment, and enforcement (including wage withholding) are met.
- b. Whenever possible, the system will support the initiation of the next step in case processing. The system will support:
  1. The generation of documents and notices;
  2. Accepting, editing, and verifying information and data from various sources;
  3. Flagging cases for potential review and adjustment of support obligations;
  4. Processing and distributing collections; and
  5. Directing cases to the next appropriate processing unit once action is completed in a unit.

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

**Related Program Statutes and Regulations:**

45 CFR 309.85  
45 CFR 309.95  
45 CFR 309.105(a)(4)  
45 CFR 309.110  
45 CFR 309.130  
45 CFR 309.160  
45 CFR 309.170

**System Specification:**

- a. The system will support the tracking of the review and adjustment process
  1. After issuance of any order modifying a child support obligation or a determination of no change in the amount of child support, the system will:
    - (a) Alert the caseworker to provide each party with a copy of the order and record that copies were provided; or
    - (b) In the case of a petition for modification, the system will support the generation of a notice of determination that there will be no change in the amount of the child support award.

- b. All information received and actions taken will be recorded in the case history. Data elements will indicate the amount of any adjustments, including the reason for no adjustment being pursued.

**D-6 OBJECTIVE:** The system will allow for appropriate case closure as determined by the Tribe or Tribal organization.

**Related Program Statutes and Regulations:**

45 CFR 309.65(a)(14)  
45 CFR 309.75(d)  
45 CFR 309.85  
45 CFR 309.95  
45 CFR 309.105  
45 CFR 309.110  
45 CFR 309.130  
45 CFR 309.135  
45 CFR 309.160  
45 CFR 309.170

**System Specification:**

- a. The system will be capable of identifying cases eligible for case closure.

**D-7 OBJECTIVE:** The system will support the management of all inter-governmental cases, both initiating and responding.

**Related Program Statutes and Regulations:**

45 CFR 309.85  
45 CFR 309.95  
45 CFR 309.105(a)(4)  
45 CFR 309.105  
45 CFR 309.110  
45 CFR 309.115  
45 CFR 309.120  
45 CFR 309.130  
45 CFR 309.160  
45 CFR 309.170

**System Specification:**

- a. The system will ensure that inter-governmental cases receive the same services as intra-Tribal cases.
- b. The system will identify inter-governmental cases and will identify the initiating or responding State, Tribe, or Tribal organization and the Federal Entity Identifier (such as state FIPS code)

- c. In both initiating-jurisdiction and responding-jurisdiction cases, the system will support the tracking and recording of dates to ensure that appropriate actions are taken within program standard timeframes.
- d. All actions related to inter-governmental case management, including the transfer of the case to another jurisdiction, will be automatically noted in the case history.
- e. When an inter-governmental case is closed by either the initiating or responding jurisdiction, the reason and date of closure will be entered in the case history.

## E. ENFORCEMENT

**E-1 OBJECTIVE:** The system will support the monitoring of compliance with support orders and support the initiation of enforcement actions.

### **Related Program Statutes and Regulations:**

- 45 CFR 309.85(a)(2), (3), (4)
- 45 CFR 309.95
- 45 CFR 309.110
- 45 CFR 309.115
- 45 CFR 309.160

### **System Specification:**

- a. The system will automatically:
  - 1. Monitor and identify cases in which there is a failure to comply with the support obligation (e.g., delinquency monitoring); and
  - 2. Initiate appropriate enforcement action (a report, worklist or a tickler to the appropriate worker).
- b. The system will record and maintain the date the non-custodial parent fails to make payments in an amount equal to the support payable for one month or an earlier date in accordance with Tribal law.

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

### **Related Program Statutes and Regulations:**

- 45 CFR 309.85(a)
- 45 CFR 309.95
- 45 CFR 309.110
- 45 CFR 309.160

**System Specification:**

- a. When there is more than one notice for withholding against the non-custodial parent, the system will support allocating the amounts received by withholding among the obligations subject to withholding, with priority given to current support.
- b. The system will support the generation of the Federal Income Withholding form and of other documents necessary to effect wage withholding on a case.
- c. The system will track dates necessary to monitor the success of wage withholding ordered on a case, and notify the responsible worker to take follow-up action when a failure to comply with a wage withholding order by an employer occurs.

**E-3 OBJECTIVE:** In cases where previous enforcement attempts have failed, the system will periodically re-initiate enforcement actions.

**Related Program Statutes and Regulations:**

45 CFR 309.85  
45 CFR 309.95  
45 CFR 309.110  
45 CFR 309.160

**System Specification:**

- a. The system will automatically track dates/time periods and take required actions to re-initiate enforcement actions where previously actions were unsuccessful.

## F. FINANCIAL MANAGEMENT

**F-1 OBJECTIVE:** If the system is used for processing payments, the system will support the automatic processing of all payments received.

**Related Program Statutes and Regulations:**

45 CFR 309.75(e)  
45 CFR 309.85(a)(4), (5)  
45 CFR 309.105  
45 CFR 309.110  
45 CFR 309.115  
45 CFR 309.120  
45 CFR 309.160

**System Specification:**

- a. The system will accept and uniquely identify all payments.
- b. The system will provide financial controls for posting and balancing all payment transactions.
- c. The system will support the generation of documents required to deposit payments/collections in accordance with written procedures.
- d. The system will be capable of adjusting, with supervisory approval, previously processed payments.
- e. The system will accept and process unidentified and/or suspended payments in accordance with Tribal written procedures and will support the identification of such payments.
- f. For each case, the system will maintain a payment history containing the following information on each payment: amount of the payment; date of collection; method of payment; and date of disbursement.

**F-2 OBJECTIVE:** The system's accounting process will accept and maintain all financial information, distribute and disburse payments on current support and arrears, and perform all other calculations relevant to the IV-D program.

**Related Program Statutes and Regulations:**

45 CFR 309.65(a)  
45 CFR 309.75(e)  
45 CFR 309.85  
45 CFR 309.85  
45 CFR 309.100  
45 CFR 309.105(a)(4)  
45 CFR 309.110  
45 CFR 309.120  
45 CFR 309.130

45 CFR 309.145(a)(3)  
45 CFR 309.170

**System Specification:**

- a. The system will maintain identifying information on all key transactions.
- b. The system will distribute all current support collections.
- c. The system will distribute collections on arrears.
- d. The system will support the disbursement of funds to obligees and referring agencies.
- e. Each time distribution or disbursement takes place, the system will support the recording of the amount, date of distribution, date of disbursement, and the recipient.
- f. In inter-jurisdictional cases, the responding jurisdiction's financial subsystem will provide for disbursement to the initiating jurisdiction. All transfers will be recorded in or linked to the automated client record. Data to the initiating jurisdiction will include: identifying case numbers, payment amount, date of collection, non-custodial parent's name, and Social Security Number.

**F-4 OBJECTIVE:** The system will generate notices to case participants about the amount of support collected and disbursed.

**Related Program Statutes and Regulations:**

45 CFR 309.75(c)  
45 CFR 309.85(a)  
45 CFR 309.95  
45 CFR 309.110  
45 CFR 309.115  
45 CFR 309.160

**System Specification:**

- a. The system will support the generation of an annual notice of assigned support collections for custodial parents who continue to receive IV-D services. This will include cases that have outstanding arrearages that have been assigned to another jurisdiction, to the Tribe, or Tribal organization. The annual notice will separately list payments collected from each non-custodial parent, if appropriate, and will indicate the amount of current support, the amount of arrearage collected, and the amount of support collected which was disbursed to the family.
- b. If applicable, the system will support providing the IV-A agency information on the amount of monthly support collections received for each IV-A case. The information will include the amount, case number, and date of collection for each payment.

## G. REPORTING

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

**Related Program Statutes and Regulations:**

45 CFR 309.130

45 CFR 309.170

**System Specification:**

- a. The MTCSE system or a separate accounts management system of the Tribe or Tribal organization will maintain all appropriate information required to complete the Statistical and Narrative Report.
- b. The system will maintain all information required to complete the OCSE-34A report.
- c. The MTCSE system or the accounts management system of the Tribe or Tribal organization will maintain all information required to complete the Standard Form 269 report.
- d. The MTCSE system or the accounts management system of the Tribe or Tribal organization will maintain all information necessary to complete other reports defined as necessary by the Tribal government, or for which instructions have been issued by OCSE to complete its Annual Report to Congress.

**G-2 OBJECTIVE:** The system will provide an automated daily report/worklist to each caseworker to assist in case management and processing.

**Related Program Statutes and Regulations:**

45 CFR 309.85(a)(7)

**System Specification:**

- a. The system will support the generation of operational reports at the caseworker and unit level to facilitate day-to-day work. As determined necessary by the IV-D agency, the report/worklist, whether manual or automated, will provide the following types of information:
  1. Cases needing review prioritized by case function or case age.
  2. Any required follow-up case reviews and/or actions triggered manually by the caseworker, unit, or jurisdiction, or automatically by the system;
  3. Cases to be automatically acted on by the system, which may require caseworker review and/or action; and
  4. Cases newly assigned that require caseworker review and/or action.

**G-3 OBJECTIVE:** The system will support the generation of reports required to ensure and maintain the accuracy of data and to summarize accounting activities.

**Related Program Statutes and Regulations:**

45 CFR 309.85  
45 CFR 309.110  
45 CFR 309.115  
45 CFR 309.130  
45 CFR 309.170

**System Specification:**

- a. The system will ensure the validity of data entered into the system and generate error/edit reports.
- b. The system will support the generation of reports pertaining to applicable financial activities, such as:
  1. Collections,
  2. Arrears balances,
  3. Adjustments,
  4. Fees collected,
  5. Undistributed Collections
  6. Future and arrearage payments,
  7. Inter-jurisdiction collections,
  8. Checks and check registers,
  9. Summary of distribution of child support, and
  10. Interest collected.

**G-4 OBJECTIVE:** The system will provide management reports for monitoring program performance.

**Related Program Statutes and Regulations:**

45 CFR 309.85(a)(7)

**System Specification:**

- a. The system will support a reporting capability to provide management the flexibility to obtain information on an as-needed basis and to satisfy new information needs.
- b. The system will support a reporting capability to monitor and evaluate employee, unit, and office performance.

**G-5 OBJECTIVE:** The system will support the expeditious review and analysis of all data that is maintained, generated, and reported by the system.

**Related Program Statutes and Regulations:**

45 CFR 309.160

**System Specification:**

- a. The system will support the audit of all program, financial, statistical, and other data maintained by the system in accordance with CFR 309.160
- b. The system will support the generation an automated case history, as defined by the Tribal program, for each case that includes actions taken, the dates of actions, and, if appropriate, the results of these actions.

## H. SECURITY AND PRIVACY

**H-1 OBJECTIVE:** The system will be protected against unauthorized access to computer resources and data in order to reduce erroneous or fraudulent activities and protect the privacy rights of individuals against unauthorized disclosure of confidential information.

**Related Program Statutes and Regulations:**

45 CFR 309.80(b)

45 CFR 309.85(a)(7)

**System Specification:**

- a. System, terminal, and password identifications will be controlled, and will uniquely identify the system user.
- b. The system will automatically require the system user to change passwords periodically.
- c. The system will provide security levels for access to records and files and utilize automatic sign-off techniques.
- d. Procedures for system and terminal user identification assignment, maintenance, and cancellation will be in place.
  1. Delegation and maintenance of the password system will be limited to a select number of people; and
  2. A mechanism will be in place to quickly notify those responsible when there are personnel changes.
- e. The system will detect, record, and lock out unauthorized attempts to gain access to system software and data.
- f. Access to negotiable or sensitive forms will be restricted.
- g. For security purposes, the system will be capable of maintaining information on all changes to critical records and/or data fields (e.g., Arrearage Balance, Monthly Court-Ordered Support Amounts, Social Security Number (SSN), Name, Family

Violence Indicator, etc.) including identification of the responsible system user/caseworker and date/time of the change.

- h. The system will be capable of routinely monitoring the access to use of the automated system.
- i. The system will prevent disclosure of information on persons designated as subject to family violence.

**H-2 OBJECTIVE:** The Tribe or Tribal organization will have procedures in place for the maintenance and control of the application software and of program data.

**Related Program Statutes and Regulations:**

45 CFR 309.80(b)

45 CFR 309.85(a)(7)

**System Specification:**

- a. Change control procedures will be established to verify and validate changes to master files and application software.
- b. Change control procedures will ensure that only authorized changes are made to the application software and that these changes are fully tested, approved, and migrated into production in a controlled manner, and documented to provide an audit trail of all system maintenance.
- c. The system application software will include recovery and re-start capabilities for events such as operator errors, data errors, and/or hardware/software failures.
- d. The system will maintain an audit trail of all operating system actions either on the automatic console log or on the computer system's job accounting file.
- e. The system will limit access to system utility programs to users with an appropriate security level.
- f. All changes to database master files will be authorized and initiated by persons independent of the data processing function.

**H-3 OBJECTIVE:** The system hardware, software, documentation, and communications will be protected and back-ups will be available.

**Related Program Statutes and Regulations:**

45 CFR 309.80(b)

45 CFR 309.85(a)(7)

**System Specification:**

- a. The Tribe or Tribal organization will have a disaster recovery plan which provides detailed actions to be taken in the event of a natural disaster (fire, water damage, etc.) or a disaster resulting from negligence, sabotage, mob action, etc. The disaster recovery plan will at a minimum include:

1. Documentation of approved backup arrangements,
  2. Formal agreement of all parties,
  3. An established processing priority system, and
  4. Periodic testing of the backup procedures.
- b. The Tribe or Tribal organization will maintain a listing of retention periods for all application and operating system files and program versions.
  - c. The system will have, or be supported by, a recovery and restore capability in case of system malfunction or failure.
  - d. The system will support and the Tribe or Tribal organization will conduct routine, periodic backups of all child support system data files, application programs, and documentation.
  - e. The Tribe or Tribal organization will store duplicate sets of files, programs, documentation, etc., off-site in secure waterproof and fireproof facilities.

**H-4 OBJECTIVE:** The system will be capable of processing data related to calendar year 2000.

**Related Program Statutes and Regulations:**

45 CFR 309.85(a)(7)

**System Specification:**

- a. All information technology hardware, software, and firmware product utilized by the comprehensive automated child support enforcement system shall be able to accurately process date/time data (including, but not limited to, calculating, comparing, and sequencing) from, into, and between the twentieth and twenty-first centuries, and the years 1999 and 2000 and leap year calculations to the extent that other information technology, used in combination with the information technology being acquired, properly exchanges date/time data with it.

## APPENDIX A - ACRONYMS

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<b>Acronym</b>	<b>Description</b>
<b>45 CFR 309</b>	Code of Federal Regulations, Title 45, Chapter III – Office of Child Support Enforcement, Part 309_Tribal Child Support Enforcement (IV-D) Program.
<b>ACF</b>	The Administration for Children and Families (ACF), within the Department of Health and Human Services (HHS) is responsible for federal programs that promote the economic and social well-being of families, children, individuals, and communities.
<b>CSE</b>	Child Support Enforcement
<b>CP</b>	Custodial Parent
<b>FIPS</b>	Federal Information Processing Standard (FIPS) 6-4 provides the names and codes that represent the counties and other entities treated as equivalent legal and/or statistical subdivisions of the 50 States, the District of Columbia, and the possessions and freely associated areas of the United States.
<b>HHS</b>	Health and Human Services
<b>MTCSE</b>	<b>The Model Tribal Child Support Enforcement System</b>
<b>NCP</b>	Non-Custodial Parent
<b>Non-IV-A cases</b>	Cases maintained on the system, which are not recipients of IV-A (TANF) services.
<b>Non-IV-D cases</b>	Cases maintained on the system which are not recipients of IV-D services e.g., payment-processing-only type cases).
<b>OCSE</b>	Office of Child Support Enforcement, within the Administration for Children and Families.
<b>SSN</b>	Social Security Number
<b>TANF</b>	See Title IV-A.
<b>Title IV-A</b>	Title IV, Part A of the Social Security Act, Temporary Assistance to Needy Families (TANF). The Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) (Pub. L. 104-193), as amended, established the Temporary Assistance for Needy Families (TANF) block grant program.
<b>Title IV-D</b>	Title IV, Part D of the Social Security Act, Child Support and Establishment of Paternity (Child Support Enforcement Program). See also the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) (Pub. L. 104-193).

<b>Acronym</b>	<b>Description</b>
<b>Title IV-E</b>	Title IV, Part E of the Social Security Act, Federal Payments for Foster Care and Adoption Assistance (Foster Care). See also the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA) (Pub. L. 104-193).
<b>Title XIX</b>	Title XIX of the Social Security Act, Medical Assistance Programs (Medicare and Medicaid Programs).

## APPENDIX B – FEDERAL REPORTS

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**Annual Report to Congress.** Statistical report of national child support data. This report is now available on the OCSE website at

<http://www.acf.dhhs.gov/programs/cse/prgrpt.htm>

**OCSE 34-A Report.** Child Support Enforcement Program: Quarterly Report of Collections (Form OCSE-34A). See OCSE Action Transmittal 03-04 (OCSE-AT-03-04).

**SF 269 Report** Office of Management and Budget (OMB) Standard Form 269, prescribed by OMB Circulars A-102 and A-110. Federal agencies require grantees to use the SF-269, Financial Status Report-Long Form, or SF-269a, Financial Status Report-Short Form, to report the status of funds for all non-construction projects or programs.

**Statistical and Narrative Report.** In accordance with 45 CFR 309.170 (c), the Tribal IV-D program statistical and narrative reports for each funding period, including data on:

- (1) Total number of cases and, of the total number of cases, the number that are State or Tribal TANF cases and the number that are non-TANF cases;
- (2) Total number of out-of-wedlock births in the previous year and total number of paternities established or acknowledged;
- (3) Total number of cases and the total number of cases with a support order;
- (4) Total amount of current support due and collected;
- (5) Total amount of past-due support owed and total collected;
- (6) A narrative report on activities, accomplishments, and progress of the program, including success in reaching the performance targets established by the Tribe or Tribal organization;
- (7) Total costs claimed;
- (8) Total amount of fees and costs recovered; and
- (9) Total amount of laboratory paternity establishment costs.