

Model Tribal System

Designed By Tribes, For Tribes

System Requirements Specification

Volume 1

June 09, 2014

Version 1.21



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

REVISION HISTORY			
Version	Date	Description of Change	Approval
	9/29/2009	MOD REQ, Additional Case Types (FC-A, FC-P, IV-E, KC-A, State ...	
	10/27/2009 11/10/2010	CP Recoupment Accounts	
	11/17/2009	Dual Obligations	
	11/17/2009	Arrears Interest	
	11/17/2009	Futures	
	11/17/2009	Delinquency	
	11/17/2009	Distribute Unidentified Payments	
	11/17/2009	Proration	
	11/17/2009	Agency Select	
	11/17/2009	System Generated Accounts	
	05/05/2010	Order Copy	
	05/05/2010	Adjustments	
	05/05/2010	IV-E Case Type	
	05/05/2010	Case Type Change	
	05/18/2010	License Suspension	
	10/22/2010	Case Function Monitor Should not Check Employment	
	11/10/2010	Alternative Payment Methods	

REVISION HISTORY			
Version	Date	Description of Change	Approval
	8/13/2012	External Check Print	
1.14	3/27/2013	Editorial	
1.15	10/31/2013	Electronic Funds Transfer	
1.15	10/31/2013	Manual Reconciliation	
1.16-1.18	12/08/2013	New Format Import and Export Process Deleted	
1.18 – 1.21	06/09/2014	Format Changes and Quality Assurance	CP, TM

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Introduction

This document defines the detailed Software Requirements Specification (SRS) for a Model Tribal System (MTS) for child support enforcement. The high-level system requirements are defined in the *MTS Concept of Operations – May 18, 2010* and the *MTS System Specification – May 18, 2010*. If there is a conflict between this document and the high-level system requirements, the high-level requirements take precedence.

Volume 1 of this document contains the Business Requirements for the MTS. Volume 2 contains appendices that provide additional detail on the Business Requirements. All references to Appendices in this volume are to the Volume 2 Appendices.

As stated in the *MTS Concept of Operations*:

The system shall provide for the efficient management of tribal child support enforcement cases. For tribes that use this system, it shall be the primary automated system used by the tribe for child support enforcement. Each instance of the system software is intended to support only one tribal organization. The system shall contain all data needed to manage a case, including records of payments and collections made by tribal financial organizations. It shall accept applications for child support services and set up child support cases. It shall locate participants in the case. It shall support the establishment of paternity and the establishment of support orders. It shall support the enforcement of child support orders. It shall support the collection of payments and shall support the distribution and disbursement of payments. The system should support the production of all required federal and tribal reports. The system shall ensure the privacy of all data. If it handles funds, it shall ensure the secure handling of all funds.

In support of these requirements, the system will support the following Business Processes:

1) Case Intake and Update

Case Initiation and Update is the process of responding to a request for services. This includes opening and/or reopening a case and assessing and determining the next appropriate action on a case. It also includes entering data on a case, either at case intake or at any later time in the life of the case.

2) Locate

Locate is the process of gathering information concerning the physical location and verified mailing address of a Custodial Parent (CP) or Noncustodial Parent (NCP). It also includes information on the parties' employer(s), income, or assets. Locate information is used to support the efficient collection of child support.

3) Paternity Establishment

Paternity Establishment is the process of obtaining a voluntary acknowledgement of or a stipulation to paternity by a putative father. It also includes the legal processes needed to obtain a finding of paternity by a court.

4) Order Establishment

Order Establishment is the process of obtaining a voluntary stipulation to child support by an NCP or conducting the legal processes needed to obtain a child support order from a court. It also includes the Review and Adjustment process.

5) Enforcement

Enforcement is any action that may be taken to ensure collection of a child support obligation. Enforcement includes income withholding, license suspension, liens on property, and various other tribal, state and federal remedies.

6) Case Management

Case Management includes numerous actions affecting the status or organization of an established case. It includes redirecting payments, consolidating a case, transferring a case, and closing a case. It also includes monitoring responses to actions on a case and determining the next action that should be taken on a case.

7) Financial Management

Financial Management includes all the processes involve in collecting and paying out child support monies. The system must conduct these functions in accordance with accepted accounting practices. The functions include:

Obligation Management

Obligation Management is the process of managing owed amounts, primarily court ordered support (financial and non-financial) owed by the NCP, but also including any judgments, fees, and other costs related to a child support case.

Collections

Collections is the process of receiving funds from the Noncustodial Parent and other payers, and all functions related to recording and depositing monies paid by NCPs for child support obligations.

Distribution

Distribution is the process of applying allocated collections to various debts and obligations. This capability also determines how collections will be applied to the obligor's child support obligations.

Disbursement

Disbursement is the process of handling outbound payments to the appropriate parties.

8) System Security and Administration

System Security and Administration provide for maintaining the security and privacy of personal and financial data.

a) Security

The Security function will provide for restricting access to the tribal child support enforcement (TCSE) application and data to only authorized users under controlled circumstances. It will provide for separation of functions to ensure proper handling of financial accounts.

b) Administration

The Administration process provides for configuring the system to support a variety of TCSE programs, each with different needs and different governing regulations. The system software will be extensively configurable at and subsequent to installation. Configuring and reconfiguring the system should have a minimum impact on program operations.

9) Reporting

Reporting includes extracting and abstracting system data to produce reports that ensure the reliability of the system's financial processes and the business effectiveness of the child support program as a whole.

10) General

General processes include system functionality that is common to all processes or is not associated with a particular process.

I General Requirements

This section contains requirements that are system-wide or are common across multiple business processes.

1 Case Record

1.1 Case and Participant Data

- 1.1.1** The system will maintain data records on child support cases and participants (participants are individuals who fulfill the role of CP, NCP, or child on a child support case). The system will allow the linking of each case to one or more CPs, one or more NCPs, and one or more Children. The system will require that all participants have a status of *Active* or *Inactive*. Each case will have a minimum of one active CP and one active Child. Each case may have no more than one active CP and no more than one active NCP at one time. The active CP and the active NCP may change over the life of a case.
- 1.1.2** The system must automatically establish unique case numbers and participant identification numbers. The system must, when a case is opened or participants are added, assign unique case and participant identifiers in real time.
 - 1.1.2.1** Case numbers will conform to the 15 character field identified in OCSE DCL-04-02.
- 1.1.3** During case initiation, the system must identify possible pre-existing participants and allow the user to link them to the new case.
- 1.1.4** If, during the process of assigning unique identifiers, the system identifies possible pre-existing participants, the system must suspend assignment of an identifier for that participant and notify the user of potential matches.
- 1.1.5** Upon notifying the user of potential participant matches during the assignment of unique identifiers, the system must provide the capability for the user to select an existing participant identifier or to request a new identifier be assigned and then assign an identifier.
- 1.1.6** The system must provide the capability to inactivate duplicate participant records.
- 1.1.7** The system must allow for the linking of cases to multiple orders and obligations.
- 1.1.8** The system must establish a cross-reference of cases to participants and participants to cases. The system must allow the updates for a participant's master record to be reflected in all associated cases without data reentry.
- 1.1.9** The system must provide the capability for multiple instances of address information for a participant.
- 1.1.10** The system must provide the capability for multiple instances of employer information for a participant.
- 1.1.11** The system must be capable of maintaining information on all changes to critical records and/or data fields including identification of the responsible system user/caseworker and date/time of the change.

- 1.1.12** The system must impose no constraints on the amount of case and participant information retained.
- 1.1.13** The online architecture must perform multiple levels of validation to ensure that properly formatted, complete, and internally consistent information is captured in the system. This must include:
 - 1.1.13-a** Field-level validations must include checks for field length, content type (alpha, numeric, etc.), and required fields.
 - 1.1.13-b** Page-level validations must validate that the page submitted is internally consistent (i.e. cross-field validation).
 - 1.1.13-c** Domain object validations must validate that the data input into the system is consistent with data already existing in the system and is valid for the given business operation being performed.
- 1.1.14** Identifying information on closed cases, such as parent and child name, Social Security number (SSN) and Date of Birth (DOB), must be maintained on the system in an on-line index, with all case data maintained in an automated format that can be easily retrieved in an automated manner from the archived history file.
- 1.1.15** The system must provide the capability to re-open cases and/or re-activate case participants using the same unique identification numbers originally assigned.
- 1.1.16** The system must have the capability to review various data groups related to a logical object without reentering the key data for the object. For example, the system must be able to review multiple data screens for a participant or case without reentering or reselecting the participant or case.
- 1.1.17** The system must provide the capability to maintain identifying information on an unborn child.
- 1.1.18** The system must provide the capability to open a new case specifying an unborn child as a participant.
- 1.1.19** The system must provide indicators that identify a participant as self-employed or unemployable.
- 1.1.20** The system must be capable of providing, upon request, timely information on the current status of a case.
- 1.1.21** The system must provide the capability for multiple instances of key identifying information (name, Social Security number, and address) per participant and provide the capability to indicate which instance of the information should be considered primary.
- 1.1.22** The system should allow users to record all orders (including those established in a foreign currency) in US dollars. Adjustments will be made by the user to change arrearage and/or interest discrepancies resulting from exchange rate fluctuations.
- 1.1.23** The system shall provide a standardized record layout for a tribal child support system interface and allow the import and export of cases in the standardized record layout.

1.2 Case History

- 1.2.1** The system will maintain a *Case History* for each case. The *Case History* will be a record of all significant actions taken on a case over time. The *Case History* will consist of the following data records:
- 1.2.1-a Case Note** – A free-form text entry recording narrative associated with a case – contains date, case number, caseworker, participant ID – sometimes prompted by the system as specified, but may be created at any time by the caseworker.
 - 1.2.1-b Case Event** – A predefined set of data extracted at important events in the history of the case. It will contain an event name, date, caseworker, case number, participant names, participant numbers, and other data as defined in *Appendix E - Case History Notes and Events*. Case Events will include records that will provide the following:
 - 1.2.1-b.i Case Management History** – A record of every significant case management action including establishment and enforcement actions and a record of all actions taken that affect case status.
 - 1.2.1-b.ii Payment History** – A record of every financial transaction or action (bills sent, payments received, distributions, disbursements, adjustments, etc.) performed on a case. Minimum information includes date, case number, caseworker, participants' numbers, amount, account name, payment method, and disbursement method.
 - 1.2.1-b.iii Appointment History** – A record created every time an appointment is made, containing appointment type, date, case number, caseworker, and participants' numbers.
 - 1.2.1-c Document Record** – A record created every time a document is generated, containing date, case number, caseworker, participants' numbers, and a link to the contents of the document.
 - 1.2.1-d Tickler Record** – A record created every time a tickler is set or is sent, containing tickler name, date, case number, caseworker, participants' numbers, and future trigger date.
- 1.2.2** Updates can be made to the *Case History*, but previous entries cannot be changed.
- 1.2.3** The *Case History* of a case can only be viewed by the caseworker assigned to the case and by designated supervisors.
- 1.2.4** Case history records will be maintained regardless of Case Status.
- 1.2.5** *Case History* records will be sortable by case number, by participant number, by participant name, by date (first-to-last and last-to-first), by function (Case Intake, Locate, Paternity, Order Establishment, Enforcement, Financial), by record types (Notes, Events, Documents, Ticklers), and/or by user.
- 1.2.6** *Document Record* contents are defined in *Appendix C - Document Templates*.
- 1.2.7** *Case Event Record* and *Case Note Records* contents are defined in *Appendix E - Case History Notes and Events*.

1.2.8 *Tickler Record* contents are defined in *Appendix D - Ticklers*.

1.2.9 Data used in the *Case History Events* is defined in *Appendix B – Data Dictionary*.

1.3 Case Status

1.3.1 Each case will have an assigned case status set on the system. Possible case statuses are *Open*, *Suspended*, and *Closed*.

1.3.2 A change in case status will create a **Case Status Event**.

1.3.3 Automatic processing will not be done on *Closed* and *Suspended* cases.

1.4 Case Function

1.4.1 The system will assign each *Open* case one of the following functions: *Case Intake*, *Locate*, *Paternity*, *Order Establishment*, *Enforcement*, or *Financial*.

1.4.2 A change in Case Function will create a **Case Function Event**.

1.4.3 The system will support the movement of a case to the next appropriate function.

1.4.4 To allow the tracking of compliance with program performance standards, the system must record in the automated case record:

1.4.4-a The date and prior function when a case is moved into a new function;

1.4.4-b The dates and actions taken within the function;

1.4.4-c The results of such actions including appropriate dates; and

1.4.4-d The date of referral to the next appropriate function.

1.5 Financial Data

1.5.1 The system must maintain individual accounts for each type of support, arrears, judgment, and fees.

1.5.2 The financial processes implemented by the system must comply with Generally Accepted Accounting Principles (GAAP).

1.5.3 The system must support a financial history capable of tracking information on individual participants over multiple cases.

1.5.4 The system must have the capability to record fee reversals.

1.5.5 The system must have the capability to preserve arrears balances, in order to distribute collections to current and/or historical payees, as appropriate.

1.5.6 The system must recalculate account balances when an adjustment is made to a collection.

- 1.5.7** Each time a distribution and disbursement takes place, the system must record the amount, date of distribution, date of disbursement, and the recipient.
- 1.5.8** The system must record details about each disbursement.
- 1.5.9** The system must re-compute the distribution of all collections when payments are made in the month when due but are received in a later month by the IV-D agency responsible for final distribution, or information is received on unidentified payments in a later month.
- 1.5.10** The system must, at a minimum, automatically generate reports pertaining to the following financial activities:
 - 1.5.10-a** Collections
 - 1.5.10-b** Escrowed collectibles
 - 1.5.10-c** Adjustments
 - 1.5.10-d** Fees collected
 - 1.5.10-e** Future and arrearage payments
 - 1.5.10-f** Foreign collections
 - 1.5.10-g** Checks and check registers
 - 1.5.10-h** Summary of distribution of child support
 - 1.5.10-i** Summary of receipts by collecting agency
 - 1.5.10-f** **Electronic Funds Transfer (EFT)**
- 1.5.11** The system shall record and maintain charges associated with interest or late payment penalties and fees.
- 1.5.12** The system generated billing statement must provide for payment identification (e.g., return stubs or coupons), supporting various payment frequencies.
- 1.5.13** On obligations created for fees and costs which were borne by the custodial party, the system must ensure that the payee of the obligation is the custodial party.
- 1.5.14** On obligations created for fees and costs which were borne by the local child support agency, the system must ensure that the payee of the obligation is the local child support agency.
- 1.5.15** The system must notify the employer when withholding ceases on an active wage assignment and notification of termination has not been received from the employer.
- 1.5.16** The system must be able to post an employer payment for interest against the obligor's account to satisfy interest debt accrued due to the employer's delinquency.
- 1.5.17** The system must have the capability to adjust account balances, interest and arrears, should there be any future or retroactive changes in obligation amounts.
- 1.5.18** The system must return IV-D collections to the obligors which were undeliverable to the family after a reasonable period of attempting to locate the family has passed.

- 1.5.19** The system must provide the capability to override, with supervisory approval, the automated distribution process.
- 1.5.20** The system must provide a means to audit all receipt adjustments back to the original receipt.
- 1.5.21** For each case, the system must maintain a payment history containing the following information on each payment: amount of the payment; date of collection, method of payment; source of payment; date initially received; receipt number; and date of disbursement.

1.6 In-Kind and Direct Payments

- 1.6.1** For each obligation, the system will support an *In-Kind Payment Indicator* and a *Direct Payment Indicator* to record that In-Kind payment or direct payment is allowed for the obligation. Alternative Payment Types of *In-Kind Payment*, *Direct Payment*, and *Third Party Direct Payment* will be supported to record the type of payment.
- 1.6.2** All In-Kind and direct payments will be converted to dollar equivalents before being entered on the system.

1.7 Family Violence

- 1.7.1** For each case and participant, the system will support a *Family Violence Indicator* to record that family violence has been determined on a case according to tribal policy.
- 1.7.2** If the *Family Violence Indicator* is set for a case:
 - 1.7.2-a** Participant address information will not be printed on documents.
 - 1.7.2-b** Only the assigned caseworker and supervisor may view case information.

1.8 Address Suppression

- 1.8.1** For each case the system will support an *Address Suppression* indicator to record that the CP has requested that access to his or her address should be restricted.
- 1.8.2** If Address Suppression is set for a case, participant address information will not be printed on documents.

1.9 Time Frames

- 1.9.1** The system must include data to allow the system to effectively monitor program time standards as defined in *Appendix G - Configuration Data*.

- 1.9.2 The system must automatically track dates and time periods and alert the caseworker or supervisor through ticklers or reports of the next required case actions.

2. Caseworker

2.1 Caseload Distribution

- 2.1.1 The system must provide an automated method to assign cases to caseworkers both individually and within units.
- 2.1.2 The system must provide a manual override to the automated method of case assignment.

2.2 Calendar

- 2.2.1 The system will provide a calendar function on which caseworkers may make appointments for application interviews, paternity interviews, hearings, genetic testing, and other appointments.
- 2.2.2 The calendar function will automatically record the user who makes the appointment, the name(s), and the case number(s) of the participant(s) for whom the appointment is made, and the date the appointment is made.
- 2.2.3 The calendar function will support the user in entering the date and time of the appointment, the location of the appointment, and the court, agency or organization with which the appointment is made.
- 2.2.4 The system must provide the user with the ability to reschedule or override appointments as needed.
- 2.2.5 The calendar function will send a tickler to alert the caseworker prior to each appointment.
- 2.2.6 The system must provide the capability for users to review their calendar in multiple periods (e.g., daily, weekly, monthly).
- 2.2.7 User calendars will be visible to all other users, but can only be modified by the owner or supervisory level staff.
- 2.2.8 Calendars will support all-day and overlapping appointments, such as when multiple cases are heard on a first-come, first-served basis at an all-day court session.
- 2.2.9 Supervisors will have an *Office View* capability, being able to see the combined schedule of all users.

2.3 Worklists

- 2.3.1 The system shall provide an automated daily report/worklist to each caseworker to assist in case management and processing.

- 2.3.2 All ticklers will appear as a worklist item in the assigned caseworker’s worklist. Items can be deleted from the worklist by the caseworker, but will reappear the next day if the conditions for the tickler are still valid.
- 2.3.3 Worklists will include ticklers triggered by both system and caseworker actions.
- 2.3.4 Worklists can be sorted by date (first-to-last and last-to-first), by case, by function (Case Intake, Locate, Paternity, Order Establishment, Enforcement, Financial), by entry types (notes, system events, data change), and by caseworker or supervisor.

2.4 Supervisory Control

- 2.4.1 The system must provide a mechanism for providing supervisory approval of financial worker actions.
- 2.4.2 Caseworker Supervisors and Financial Supervisors will be able to view and update any cases assigned to their caseworkers.

2.5 Third Party Data Bases

- 2.5.1 TCSE will support Third Party Databases of names and addresses of various individuals and organizations as described in the Third Party Database table below.

Third Party Databases	
Database	Suggested Entries
TCSE Office	
	Tribal Central Office
	Tribal Local Offices
	Payment Office
	Tribal Disbursement Unit
	CSE Attorneys
Agency	
	Tribal Enrollment
	Tribal Finance Department
	Tribal TANF

Third Party Databases	
Database	Suggested Entries
	Foster Care
	Kinship Care
	Tribal MVA
	Child Welfare
	State Offices
	Other Tribes Offices
	Federal Offices (includes Postmaster)
	State MVA
	Unemployment Insurance Office
	Workmen' Compensation Office
Employer	
	Private Employers
	Tribal Employers
	State Employers
	Federal Employers
Court	
	Tribal Courts
	State Courts
	CFR Courts
	County Courts
	Court Payment Offices
Health Care Provider	
	Hospitals
	HMOs

Third Party Databases	
Database	Suggested Entries
	Indian Health Service
	Clinics
Health Insurance Provider	
	HMO
	Private Insurance Carrier
School	
	Pre-school
	Elementary School
	Middle School
	High School
	Community College
	College
Correctional Facility	
	Tribal Detention Facility
	County Jail
	City Jail
	State Prison
	Federal Prison
Laboratory	
	Genetic Test Laboratories
Law Enforcement	
	Tribal Police
	County Police
	State Police

Third Party Databases	
Database	Suggested Entries
	Federal Police
Postmaster	
Probation and Parole Officer	
	Tribal Parole Officer
	Tribal Probation Officer
	County Parole Officer
	County Parole Officer
	City Probation Officer
	City Parole Officer
	State Probation Officer
	State Parole Officer
	Federal Parole Officer
	Federal Probation Officer
Registered Agents	
	Employer Registered Agents
State Disbursement Unit	
	State Disbursement Unit
Attorney	
	Private Attorneys
Financial Institutions	
	Bank
	Credit Union

2.5.2 These databases will be capable of being updated without compromising system operations.

2.5.3 Address information will include street address and directions, mailing address, phone number, fax number, e-mail address, and hours of operation.

2.5.4 The system will enable the user to select entries from the appropriate Third Party Database to automatically populate the appropriate field in the case record.

2.5.5 Specific data supported will include:

Group Element Name	Element ID	Element Name
Third Party Address		
	2055	Third Party Address Apt Number
	2063	Third Party Address Zip Code
	2056	Third Party Address City
	2057	Third Party Address Country
	2058	Third Party Address Description
	2059	Third Party Address PO Box
	2060	Third Party Address Province
	2061	Third Party Address State
	2062	Third Party Address Street
	2054	Third Party Address Type
Third Party Data		
	2013	Third Party Bar Number
	2012	Third Party Department
	2014	Third Party locator Code
	2011	Third Party Organization
	2010	Third Party Title
	2108	Third Party Phone Number
	2081	Third Party First Name
	2083	Third Party Last Name
	2082	Third Party Middle Name

2.5.6 For TCSE offices the following data will be included:

Group Element Name	Element ID	Element Name
TCSE Attorney Address		
	1450	TCSE Attorney Address PO Box
	1406	TCSE Attorney Address State
	1404	TCSE Attorney Address Street
	1437	TCSE Attorney Address Zip Code
	1249	TCSE Attorney Fax Number
	1829	TCSE Attorney Phone Extension
	1243	TCSE Attorney Phone Number
	1405	TCSE Attorney Address City
TCSE Attorney Name		
	1395	TCSE Attorney First Name
	1396	TCSE Attorney Middle Name
	1397	TCSE Attorney Last Name
	1258	TCSE Agency Name
	1519	TCSE Attorney Title
	1248	TCSE Attorney Bar Number
TCSE Caseworker Contact Info		
	1141	TCSE Caseworker Email Address
	518	TCSE Caseworker FAX Number
	1128	TCSE Caseworker Phone Number
	1830	TCSE Caseworker Phone Number Extension
TCSE Caseworker Data		
	1777	TCSE Caseworker Bar Number
	2092	TCSE Caseworker Number

Group Element Name	Element ID	Element Name
	1776	TCSE Caseworker Type
	2078	TCSE Caseworker Unit
TCSE Caseworker Name		
	1399	TCSE Caseworker Middle Name
	1400	TCSE Caseworker Last Name
	1398	TCSE Caseworker First Name
	1348	TCSE Caseworker Title
TCSE Office Address		
	1335	TCSE Office Address Street
	1447	TCSE Office Address PO Box
	1336	TCSE Office Address City
	1337	TCSE Office Address State
	1338	TCSE Office Address Zip Code
TCSE Office Data		
	1513	Office Hours End Time
	1512	Office Hours Start Time
	1787	TCSE Office Description
	2079	TCSE Office FAX Number
	1707	TCSE Office Name
	1500	TCSE Office Phone Number
	1831	TCSE Office Phone Number Extension
	2071	TCSE Office Type
Tribe Data		
	1510	Tribe Phone Number
	1832	Tribe Phone Number Extension

Group Element Name	Element ID	Element Name
	2109	Tribe Fax Number
Tribe Mailing Address		
	1371	Tribe Mailing Address Street
	1372	Tribe Mailing Address City
	1373	Tribe Mailing Address State
	1374	Tribe Mailing Address Zip Code
	1591	Tribe Mailing Address PO Box
Collection Location Address		
	1173	Collection Location Address Street
	1455	Collection Location Address PO Box
	1174	Collection Location Address City
	1175	Collection Location Address State
	1176	Collection Location Address Zip Code
Collection Location Data		
	1172	Collection Location Name
	1177	Collection Location Phone Number
	1818	Collection Location Phone Number Extension

2.6 Ticklers

- 2.6.1** Ticklers are system-generated reminders that are put on a user’s worklist at specified times.
- 2.6.2** To *set* a tickler means to create a data record on the system that will cause a tickler to be put on someone’s worklist at a future date.
- 2.6.3** To *send* a tickler means to put the tickler information on the receiving user’s automatic worklist.
- 2.6.4** Ticklers may be added to a worklist immediately, i.e. they may be *set* and *sent* simultaneously.
- 2.6.5** A tickler can be set by the system in two ways:
- 2.6.5-a** Automatically in response to an action on or by the system

2.6.5-b Manually on demand by a user

- 2.6.6** Automatic ticklers will have a pre-defined name and data records, as defined in *Appendix D - Ticklers*. Automatic ticklers have a preset number of calendar day's delay before being sent. This delay can be modified at the time the tickler is set by the user whose action causes the tickler to be set.
- 2.6.7** Manual ticklers will have a pre-defined data record with the name of the user who set the tickler and the date the tickler was set. It will also have a text field and a send date to be filled in by the user. Manual ticklers will be sent to the user who set the tickler.
- 2.6.8** Ticklers will be sent only for open or suspended cases.
- 2.6.9** Ticklers will be periodically cancelled at least daily according to the cancellation conditions in *Appendix D – Ticklers*.

2.7 User Interface

- 2.7.1** Unless otherwise stated all user interface functionality, including windows, keyboard and mouse actions, will conform to the guidelines in the Microsoft Windows User Experience - Official Guidelines for User Interface Developers and Designers (Microsoft Press - September 1, 1999).
- 2.7.2** All user interfaces will conform to section 508 of The Americans with Disabilities Act of 1990.
- 2.7.3** User interface presentation will be on web pages using a free unlicensed web browser that supports tabbed browsing. Browsers supported will include Internet Explorer 7.0 and above, Mozilla Firefox 2.0 and above, and Netscape Browser 8.0 and above.
- 2.7.4** All web content will conform to the World Wide Web Consortium Web Content Accessibility Guidelines 1.0 (W3C Recommendation - May 5, 1999).
- 2.7.5** All web pages for data entry will fit completely on a 1024 x 768 pixel display.
- 2.7.6** The user interface should use tabs, scrolling frames, drop-down lists, drop-down menus, combo boxes, check boxes, radio buttons, toggle buttons, pop-ups, mouse-overs, bubble help, scrolling fields, dialog boxes, keyboard shortcuts, folder structures, and other methods as appropriate to maximize the information and functionality available to the user on each web page.
- 2.7.7** The organization and presentation of web page elements will be consistent across the application through the use of standard headers, footers, and menus.
 - 2.7.7.1** The last selected Case Number, Participant Name, and Participant Number will be displayed on all screens.
 - 2.7.7.2** If only a Case Number has been selected, the default name and number will be that of the Custodial Parent.
 - 2.7.7.3** If only a Participant Number has been selected, the default case will be the oldest open case.

- 2.7.8** Presentation, entry, and manipulation of data will be consistent across all web pages. The same types of data (e.g. names, addresses, court orders, payments) will be presented in the same order and format and will be entered and modified in the same way wherever it appears.
- 2.7.9** The system must display information such that the user can clearly understand the meaning without requiring auxiliary reference materials (e.g., acronym lists).
- 2.7.10** The system must provide a navigation metaphor that is consistent across the entire online application.
- 2.7.11** The system must include built-in screen navigation paths that support functional workflow requirements, including both forward and backward navigation.
- 2.7.12** The system will provide the user with the ability to display the description of valid values for a specific field.
- 2.7.13** The system must also provide the capability for the user to navigate freely from screen to screen without the use of the built-in screen navigation paths.
- 2.7.14** The system will present brief, clear error messages to system users whenever a system error condition is encountered. The system will provide the user with the ability to access a more detailed description with respect to the error encountered.
- 2.7.15** The system will warn users of impending system problems such as running out of storage space.

2.8 User Help

- 2.8.1** The system will provide a browseable, online, application-level help capability.
- 2.8.2** The system will provide context-sensitive help down to the field level.
- 2.8.3** The system will provide the capability to search all help topics.
- 2.8.4** The system will provide the capability to print help topics.
- 2.8.5** The system will provide searchable on-line access to all system documentation, including:
 - 2.8.5-a** User Manual
 - 2.8.5-b** Training Materials
 - 2.8.5-c** Policy and Procedures Manual
 - 2.8.5-d** Operations Manual
 - 2.8.5-e** Data Dictionary
 - 2.8.5-f** System Administrator Manual
- 2.8.6** The system will provide a search capability allowing a system user to locate cases, persons, or activities based on the content of the related database fields, including comments within a case.

3 Document Generation

3.1 Documents and Reports

- 3.1.1** All documents and reports can be printed on demand by a user in the appropriate role.
- 3.1.2** Users may not print documents that are not appropriate to their role, i.e. caseworkers may not print financial documents.
- 3.1.3** The system will maintain all data required to complete the documents and reports in *Appendix C - Document Templates* and *Appendix F - Report Formats*.
- 3.1.4** All documents and reports templates will be automatically populated with the data specified in the templates to produce useable child support documents. The user will be able to generate the document regardless of the sufficiency of data.
- 3.1.5** Document and report templates must be modifiable by individual tribes. The system must be capable of supporting document templates in *Times New Roman Navajo* fonts.
- 3.1.6** The system must provide the capability to preview blank document templates.
- 3.1.7** The system must have the capability to add document templates.
- 3.1.8** All documents designated as “Automatic” in Configuration Data will be printed without caseworker intervention if possible.
- 3.1.9** The system must support the printing of addressed envelopes for delivery through the U.S. Postal Service in compliance with U.S. Postal Service standards. The system must also accommodate international addressing formats.
- 3.1.10** The system will support the selection and printing of multiple related documents.
- 3.1.11** The system must allow the capability, at the user's option, to preview, but not modify, any document online as it will be printed.
- 3.1.12** The system must provide the capability to save print files on electronic media for printing outside the system.
- 3.1.13** The system must have an on-line index of documents sortable by child support function, by document name, and by document number.
- 3.1.14** The system must provide the capability to produce documents and reports with free-form text fields.

3.2 Printing

- 3.2.1** The system must generate documents and reports in letter quality and professional in appearance.
- 3.2.2** The system must provide the capability to specify the number of copies of each document or report.
- 3.2.3** The system must provide the capability for a user to specify the printer to which each document is sent.
- 3.2.4** The system must provide the capability to print preview all documents and reports.
- 3.2.5** The system must provide the capability for reprinting replicas of previously produced documents and reports.
- 3.2.6** The system must be capable of storing previously produced documents and reports for later retrieval and printing.
- 3.2.7** The system must provide the capability for document templates to be modified individually without impact to previously produced documents and reports.
- 3.2.8** The system must provide the capability to print barcodes on documents and reports.
- 3.2.9** The system must provide the capability to add, modify, or delete documents and reports templates.
- 3.2.10** The system must provide the capability to store, retrieve, and print a tribe-specific letterhead, including textual and graphical information as specified in *Appendix G – Configuration Data*.

4 System Functions

4.1 Performance

The system software shall support system performance requirements including:

- 4.1.1** The system shall be scalable to support caseloads of up to 20,000 active and inactive cases.
- 4.1.2** The system shall support a network topology that can be scaled up to support a main office and up to 25 local offices.
- 4.1.3** The system shall provide operational capacity and throughput to support up to 100 concurrent users, including caseworkers, management, and legal staff.
- 4.1.4** The system shall be capable of being scaled up to support additional cases, offices, and users without changes to the application software.
- 4.1.5** The system software shall support full functionality and shall be available 99% of its scheduled operating time
- 4.1.6** The system shall support an application transaction response time of 2 seconds or less 95% of the time (not including transmission delays).
- 4.1.7** The system shall provide the capability of extracting and archiving all program data to portable media within an 8 hour period without interrupting normal operations.
- 4.1.8** The system must retrieve previously produced forms/letters within 10 seconds of a user request.
- 4.1.9** The system's application and database processes (CPU utilization, memory and storage space) must not exceed 65 percent of system capacity at final production implementation. These performance statistics apply to all tiers within the production environment.

4.2 Error Handling

- 4.2.1** The online architecture must utilize a transactional infrastructure to ensure that in the case of hardware/software errors, transactions may be rolled back.
- 4.2.2** The transactional infrastructure must meet ACID (Atomicity, Consistency, Isolation, and Durability) requirements for transactional support. Additionally, users must be able to retry failed transactions.
- 4.2.3** Standard error messages used by online and scheduled processes must be stored in a repository, to allow for modification outside of the program code. These standard messages must reside in common data structure or repository utilized by all application programs
- 4.2.4** Error messages must contain:
 - 4.2.4-a** A timestamp
 - 4.2.4-b** An error description

- 4.2.4-c** An error type identifier
- 4.2.4-d** The exception stack trace
- 4.2.4-e** A unique error instance identifier
- 4.2.4-f** Program/function in error
- 4.2.5** The background and scheduled process architecture must use an exception logging service to log error messages regarding failure to successfully execute or complete a batch process.
- 4.2.6** The background and scheduled process architecture must provide restart and recovery capabilities. The scheduling process must be able to support program dependencies within a job and properly identify errors within each program.
- 4.2.7** Scheduled and background process failures and warnings include:
 - 4.2.7-a** Controlled failures (e.g. exhausted restarts)
 - 4.2.7-b** Unexpected failures (e.g. Virtual Machine crash)
- 4.2.8** Both scheduled and background processes must raise exceptions at the point of their occurrence. These exceptions must be handled by the process, utilizing a standard error process and communicated to the TCSE system operations team or requestor of these processes. Communications and notification must be immediate and escalate in accordance with timeframe requirements for resolving each error.
- 4.2.9** The scheduled and background architecture must provide restart and recovery capabilities for all processes that fail due to data errors.
- 4.2.10** The scheduled and background architecture must provide restart and recovery capabilities for all processes that fail due to hardware/software failures.
- 4.2.11** The online architecture must provide a logging service that uses a standard format for all error message log entries.
- 4.2.12** The log message must contain a timestamp, an error description, an error type identifier, the exception stack trace (optional), and the unique error instance identifier.
- 4.2.13** The online architecture must raise exceptions at the point of their occurrence. These exceptions must then be handled and logged by the program. Errors requiring user notification will be presented to the user.
- 4.2.14** Error messages must be displayed to the user in a consistent fashion. They must be displayed in one of two ways:
 - 4.2.14-a** For validation errors: an error type identifier and error text must be presented to the user in a consistent format on the same page that the error occurred on.
 - 4.2.14-b** For system exceptions: an error type identifier, error text, and a unique error instance identifier must be presented to the user in a consistent format on a separate error page. The unique error instance identifier must also be placed in the application log to help expedite root-cause discovery by the technical support staff.

4.2.15 Within the system an audit trail of all operating system actions must be maintained either on the automatic console log or on the computer system's job accounting file. System errors must utilize a standard notification process to notify support staff and provide an independent system log.

4.3 External Interface

4.3.1 The system shall provide a standardized record layout for a tribal child support system interface.

4.3.2 The system shall be capable of producing data records in the standardized record layout from any case on the system. The system shall be capable of exporting these records in electronic form both by portable media and by network transmission.

4.3.3 The system shall be capable of loading data records received in the standardized record layout onto the system. Caseworkers must be able to review and approve these records on the system. Caseworkers must be able to establish viable child support cases based on these records after review and approval.

4.4 Data Validity

4.4.1 The system must perform initial edit/validation checks, including numeric and character checks and cross references, to ensure the accuracy and completeness of fields.

4.4.2 The system must maintain an auditable record of all additions, updates, changes, and deletions to all critical data in the system including identification of the responsible system user/caseworker and date/time of the change.

4.4.3 All database transactions, regardless of location, must be at all times atomic with respect to recovery, to the row level. That is to say: either the execution result is completely successful, or it has no effect on any database system structure or its data.

4.4.4 The system must generate record counts to validate the completeness of data processed. For online transactions the users will be present with a progress bar, while scheduled processes will present transaction groups completed.

4.4.5 All rejected data must be automatically written to a suspense file with a record count. The suspense files will be independent for any transaction based processes with rollback capabilities.

4.4.6 The system scheduled and background jobs must be designed such that they can be run concurrently where technical dependencies do not exist.

4.4.7 The system must provide dynamic recovery and restart capabilities for the application with no more than 15 minutes of processing time loss.

4.4.8 The tribe or tribal organization shall have procedures in place for the retrieval, maintenance, and control of program data.

- 4.4.9 The system hardware, software, documentation, and communications shall be protected and back-ups shall be available.
- 4.4.10 The scheduled and background architecture must record the number of records processed or rejected for input and output resources.
- 4.4.11 The scheduled and background architecture must allow all processes to capture rejected data in a repository and a persistent count of rejected records.
- 4.4.12 All program, financial, statistical, and other data maintained by the system must be readily accessible to auditors.

4.5 Data Retention

- 4.5.1 The system must be capable of maintaining at least three year's case history on-line.
- 4.5.2 The system must have the capability to archive data to system accessible storage devices.
- 4.5.3 The system must have the capability to easily retrieve archived data in an automated manner.
- 4.5.4 The system must have the capability to maintain closed case data.
- 4.5.5 The system must have the capability to maintain an on-line index of archived closed cases.
- 4.5.6 The system must be sized to maintain and store the required data.
- 4.5.7 The system must be sized to maintain performance, capacity and retention standards for 3 years based on a 10% projected growth rate.

4.6 System Security

- 4.6.1 The system will support access by Personal Computer (PC) users over a secure Local Area Network (LAN).
- 4.6.2 The tribe or tribal organization shall have in effect safeguards on the integrity, accuracy, and completeness of, access to, and use of data in the automated system required by this section.
- 4.6.3 The system shall 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.
- 4.6.4 The system will provide an *Access Control* function that will allow the System Administrator to create and maintain user accounts and passwords and define the roles of users. Only one account, the Security Administrator, will be able to use the *Access Control* function. The Security Administrator will assign roles and profiles to all users in accordance with tribal security policy.

- 4.6.5 The system will only be accessed through a valid user account and password created by the *Access Control* function.
- 4.6.6 The system will require that passwords be:
 - 4.6.6-a Case-sensitive
 - 4.6.6-b A minimum of 8 characters
 - 4.6.6-c Include at least one alpha and one numeric character.
 - 4.6.6-d Changed at first login
 - 4.6.6-e Changed every 90 calendar days (or as defined by tribal security policy)
 - 4.6.6-f Different from the previous password
 - 4.6.6-g Invisible on screen entry
 - 4.6.6-h Stored in an encrypted form
- 4.6.7 The system will require that user accounts will:
 - 4.6.7-a Automatically be logged off after thirty minutes of system inactivity (or as defined by tribal security policy).
 - 4.6.7-b Become inactive after three failed login attempts until reset by *Access Control*.
- 4.6.8 The system will record the user account name and password for all successful and unsuccessful attempts to log on the system.
- 4.6.9 The system will have the capability to monitor users currently on the system.
- 4.6.10 The TCSE security administrator will assign a system role to each user that is given a password. Access to features and data within the TCSE application will be controlled by user roles. The TCSE system must provide the capability to limit access at the page level. Each user has an assigned role and can only access screens and read and modify data appropriate to his or her role.
- 4.6.11 The **Roles and Maximum Privileges Table** in *Appendix H - Security Roles and Data Access* provides the user roles and the maximum screen privileges that can be assigned to each user role. Access to roles other than General User should be severely limited. The Super-User role would typically be assigned to a senior supervisor.
- 4.6.12 The system may be configured to support more restrictions on a particular user role. Each user will have a User Profile that will allow the Security Administrator to assign roles and the associated access privileges to a user.
- 4.6.13 General User and Financial User access is also restricted by the cases that are assigned to them. The **Case Data Privileges Table** in *Appendix H - Security Roles and Data Access* provides the maximum data privileges assigned to each type of user on a case assignment basis. Users are allowed their screen privileges only on those cases to which they are not prohibited (P = Prohibited, A = Allowed). The system may be configured to support more restrictive roles on an individual basis.
- 4.6.14 One individual may have more than one role, but a Financial User may not have a role that allows creation and management of cases, such as General User or Super-User, and

also may not have a role such as Security Administrator that allow creation of User IDs. An individual may only log on in one role at a time.

- 4.6.15** The system must ensure that confidential data transported over public communication lines is encrypted to prevent unauthorized access and disclosure.

4.7 Application Management

- 4.7.1** The application management must support multiple environments minimally consisting of production, testing, and development.
- 4.7.2** A Commercial-off-the-Shelf (COTS) code management utility will be used to manage all source and object code.
- 4.7.3** The tribe or tribal organization shall have procedures in place for the retrieval, maintenance, and control of the application software.

4.8 Year 2000 (Y2K)

- 4.8.1** All information technology hardware, software, and firmware products utilized by the 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 shall perform leap year calculations correctly.

II Business Process Requirements

This section contains requirements specific to individual business processes. Business process requirements are shown with the process flow diagrams related to the process and the data entered in the process. Processes that are intended to run periodically without worker intervention are designated as “monitor” processes.

Conventions

- Data in the flow diagrams is included either as a Data Element or Data Element Groups. Data Elements are numbered. Data Groups are listed in a summary table at the end of each section. The definitions of all Data Elements and Data Element Groups are found in *Appendix B – Data Dictionary*. Child, CP and NCP prefixes are generally not shown in the flows except in the initial Case Intake flows. Data marked with a * is generated by the system.
- Data elements for each section should be presumed to include, in addition to those identified, all data items associated with the Case History records as given in *Appendix E - Case History Notes and Events*, all data items associated with the Documents as given in *Appendix C – Document Templates*, and all data items associated with the Ticklers as given in *Appendix D – Ticklers*.
- The data elements for each section are also assumed to include the following standard data:

Element ID	Element Name
480	Case Number
482	Case Status
483	Case Type
487	Child Date of Birth
533	CP Date of Birth
662	NCP Date of Birth
1547	Participant Number
1096	Participant Role
1537	Participant Status
547	Family Violence Indicator
605	Good Cause

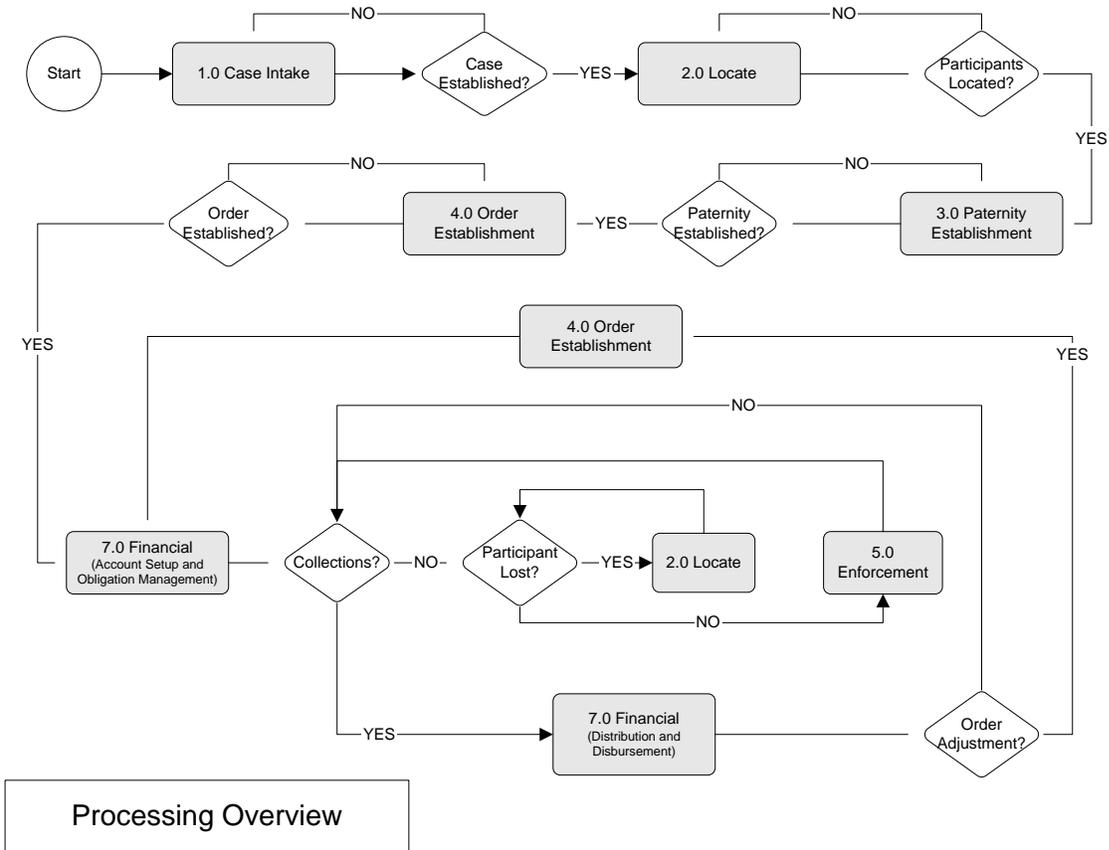
Business Process Overview

The typical business process associated with a case includes Case Intake, Locate, Paternity Establishment, Order Establishment, Order Enforcement, and the Financial Process as shown in the Processing Overview diagram.

In Case Intake, jurisdiction will be determined and basic information on a potential case will be collected and entered in the system. The case will remain in Case Intake until the Case is established (created and set to Open status). The Case will then enter Locate, where the physical and/or mailing addresses of participants will be identified. This process will continue until valid addresses are obtained for the CP and the NCP.

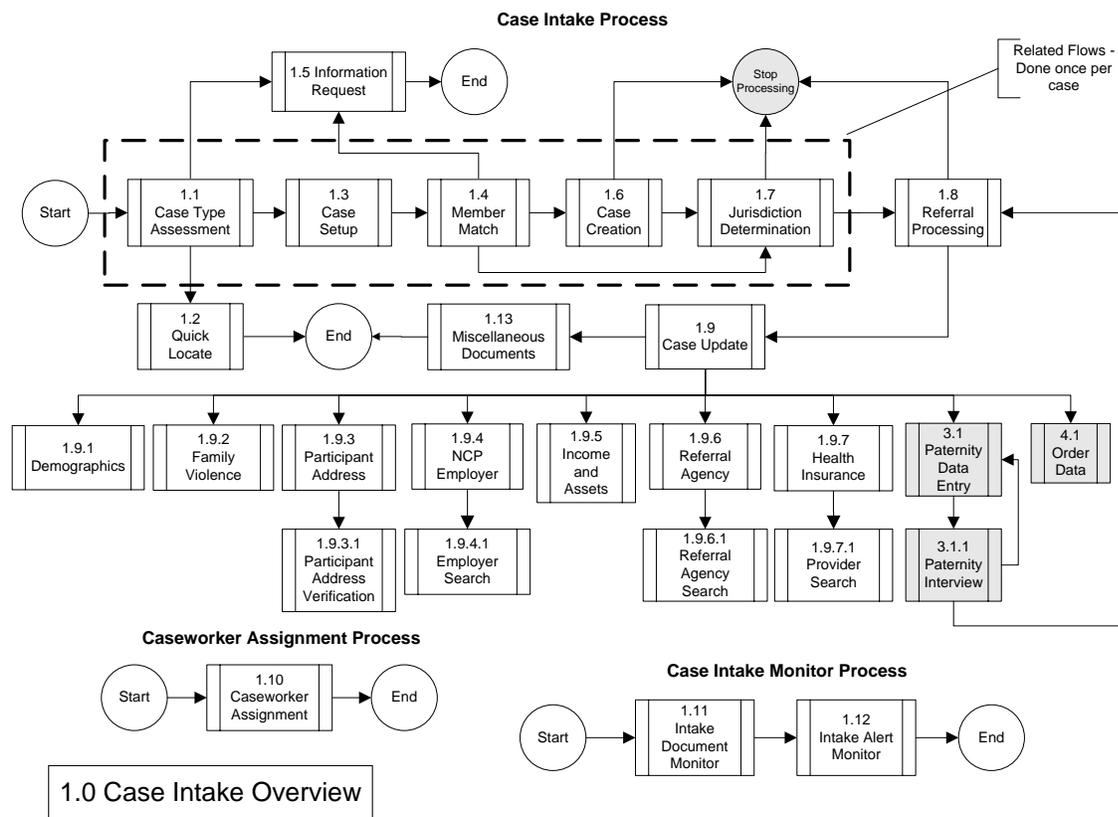
Paternity will then be established for the NCP. The Paternity Establishment process will continue until paternity is established for the NCP. A child support order will then be established for the case. The Order Establishment process will continue until a child support order is established and the child support obligations are entered on the system. The Financial process will create one or more accounts on the system. If collections are received on the accounts, the financial process will provide for distribution and disbursement of the funds. If collections are not received on the accounts, an Enforcement process will begin and will continue until collections are received.

If participants are lost at any time, the Locate process will resume. If review and adjustment of an order is required the Order Establishment process will resume. If child support payments become delinquent, then the Enforcement process will resume and will continue until collections are received.



1.0 Case Intake and Update Process

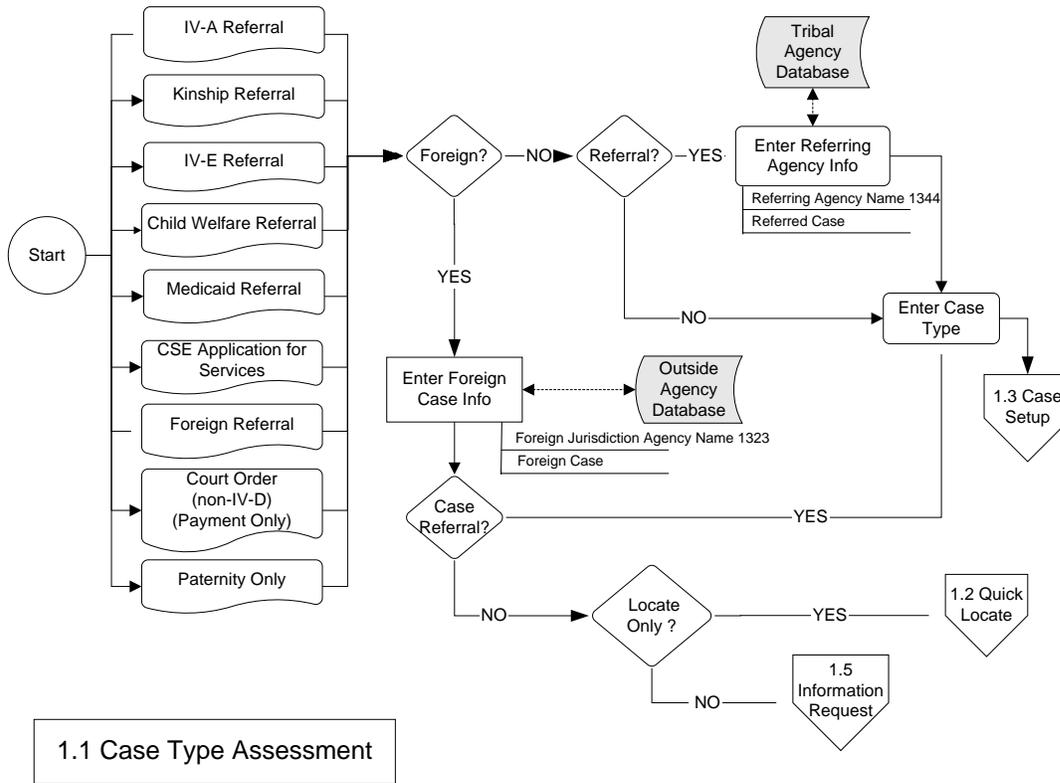
- 1.0.1** The system will support the caseworker in assessing cases, setting up cases, matching participants, creating cases, requesting additional information about a case, determining the jurisdiction for a case, handling issues related to Temporary Assistance for Needy Families (TANF) referrals, and updating case information.
- 1.0.2** The system will support quick-locate requests from other jurisdictions.
- 1.0.3** The system will support the assignment of caseworkers to cases at case intake. It will support the reassignment of cases to other caseworkers any time in the life of a case.
- 1.0.4** The system will automatically monitor the response times to outgoing case intake documents.
- 1.0.5** The system will generate case intake ticklers for caseworkers.



1.1 Case Type Assessment

- 1.1.1** The system will establish foreign and internal child support cases initiated by the following methods:
- 1.1.1-a** Referrals from a TANF agency (IV-A),
 - 1.1.1-b** Referrals from a Kinship Care agency (Kinship Care),
 - 1.1.1-c** Referrals from a IV-E Foster Care agency (Foster Care IV-E),
 - 1.1.1-d** Referrals from a non IV-E Foster Care agency where disbursements are made to the Foster Care agency (Foster Care - agency),
 - 1.1.1-e** Referrals from a Medicaid agency (Medicaid),
 - 1.1.1-f** A paternity establishment request from an authorized agency (Paternity Only)
 - 1.1.1-g** An order for collection only from an authorized court (non-IV-D),
 - 1.1.1-h** An order for judgment from an authorized court (Judgment Only),
 - 1.1.1-i** An order for medical support only (Medical Only),
 - 1.1.1-j** Completion and submission of a TCSE Application form or referral from a foreign IV-D agency (IV-D),
 - 1.1.1-k** Referrals from as Child Welfare agency (Child Welfare)
 - 1.1.1-l** Referrals from a Foster Care agency in which disbursements are made to the caretaker (tribal Foster Care - Personal),
- 1.1.2** The system will provide for quick-locate processing for locate-only referrals from a state IV-D agency or another tribe’s IV-D agency (Quick Locate) without establishing a case.
- 1.1.3** The system will require the entry of a case type corresponding to the method of establishment for each case (IV-D, non-IV-D, IV-A, Foster Care- agency, Foster Care- Personal, Foster Care – IV-E, Child Welfare, Medicaid, Kinship Care, Medical Only, Arrears Only, Judgment Only, and Paternity Only)
- 1.1.4** The system will require the entry of a Foreign Case number (typically the referring jurisdiction’s case number) and the name of the referring jurisdiction for Foreign Cases.
- 1.1.5** The system will require the entry of a Referral Agency and a Referral Agency Case Number for referred cases. The system will support the change or modification of the Referral Agency.
- 1.1.6** The system will allow the manual change of an existing Case Type in the following cases only:
- Non-IV-D, Paternity Only, Arrears Only, Medical Only, Judgment Only, or Medicaid XIX to IV-D
 - Arrears Only, Medical Only, Judgment Only, or Medicaid XIX to IV-A
 - IV-D, IV-A, Non-IV-D, or Medicaid to Arrears Only
 - IV-D or Medicaid to Judgment Only

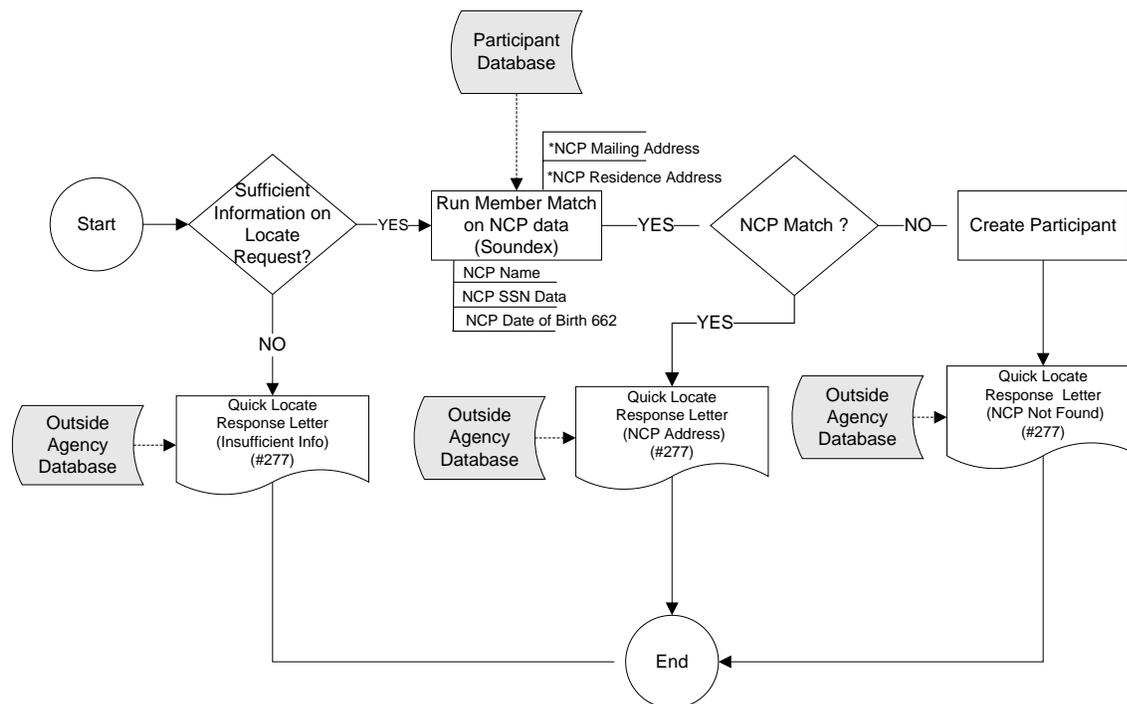
IV-D, Non-IV-D, Paternity Only, Arrears Only, or Medical Only to Medicaid XIX



Data Groups Referenced:		
Foreign Case	Referred Case	

1.2 Quick Locate

- 1.2.1 If there is insufficient information to process a Quick Locate request the system will support the generation of a **Quick Locate Response Letter** (#277) to the referring jurisdiction requesting further information.
- 1.2.2 If there is sufficient information to process a request, the system will support the searching of the Participant Database to match the person in the Quick Locate request with the participants in the system database using the method described in *1.4 Member Match*.
- 1.2.3 If the referent is found in the system database, the system will generate a **Quick Locate Response Letter** (#277) to the referring jurisdiction with the referent’s name and address.
- 1.2.4 If the referent is not found in the system database, the system will create a unique Participant Number for the referent and will generate a **Quick Locate Response Letter** (#277) to the referring jurisdiction with a Not Found message.



1.2 Quick Locate

Data Groups Referenced:		
NCP Mailing Address	NCP Name	NCP Residence Address
NCP SSN Data		

1.3 Case Setup

1.3.1 The system will support the setting up of child support cases consisting of a Custodial Parent (CP), a Noncustodial Parent (NCP) and one or more Children. The system will support both active and inactive participants on a case, but will maintain one active CP, one active NCP and one or more active children at all times.

Note: Inactive participants are persons related to the case that have either had an active role in the case or may have in the future. Examples are:

- i. An alleged or putative father whose paternity has not yet been established or who has been excluded would be an inactive NCP.*
- ii. A minor mother living with her children under the care of a relative would be an inactive CP.*
- iii. A biological child of the CP and NCP who has become emancipated or is not currently in the custody of the CP would be an inactive child.*

1.3.2 The system will support the setup of cases based on Case Type as follows:

1.3.2-a Foster Care - agency or Child Welfare: If both parents have been referred to the tribal IV-D agency, then two separate tribal cases are established, one for each parent. If only one of the parents has been referred, then only one tribal case is set up. For each case, there will be one CP (the Foster Care agency or Child Welfare agency), one NCP and one or more children currently in care.

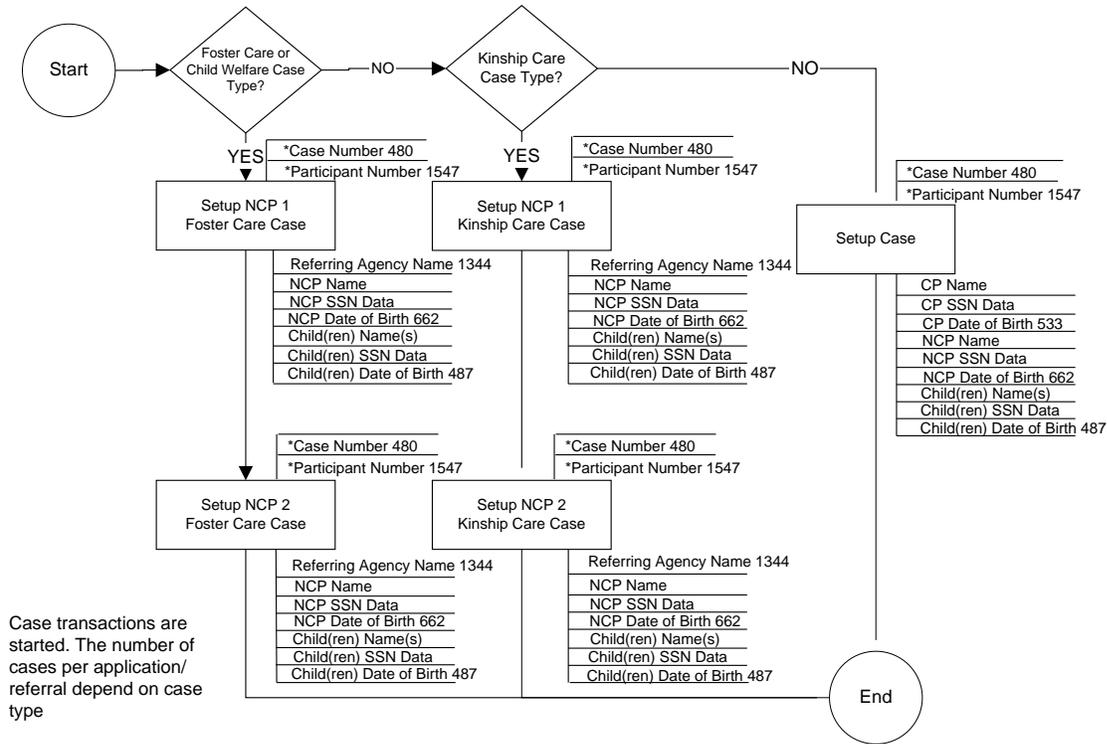
1.3.2-b Kinship Care: If both parents have been referred to the tribal IV-D agency, then two separate tribal cases are established, one for each parent. If only one of the parents has been referred, then only one tribal case is setup. For each case, there will be one CP (the Kinship Care agency), one NCP and one or more children currently in Kinship care.

1.3.2-c All Other Case Types: Only one case is setup. The case will consist of one active CP, one NCP and their children in common.

1.3.3 The system will create a unique temporary Case Number for each new case created.

1.3.4 The system will create a unique Participant Number associated to the appropriate Case Number for each new participant identified.

1.3.5 The system will support the entry of the following match data for each participant – Name, SSN, and Date of Birth.

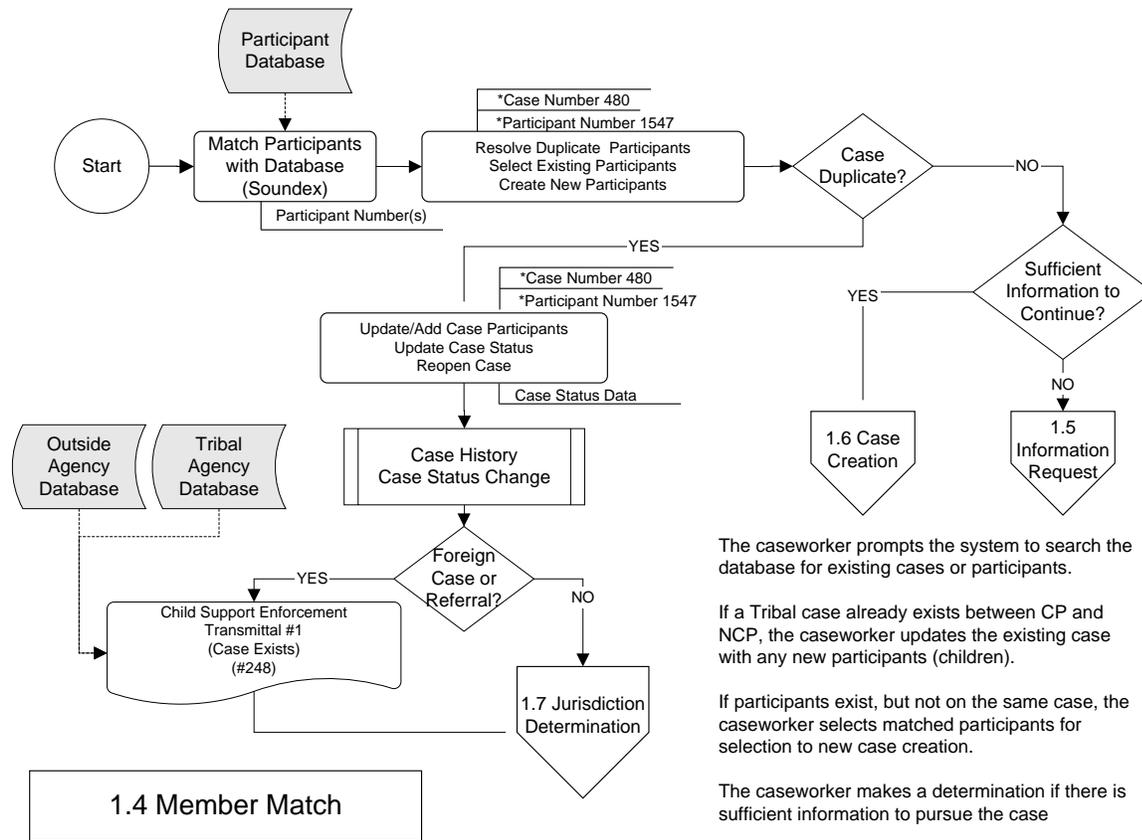


1.3 Case Setup

Data Groups Referenced:		
Child Name	Child SSN Data	CP Name
CP SSN Data	NCP Name	NCP SSN Data

1.4 Member Match

- 1.4.1 The system will support a *Member Match* process where all of the non-agency participants entered in the *Case Setup* process will be matched by Name, Date of Birth, and SSN against a Participant Database to identify participants that are already in the Participant Database. The system will use a Soundex (or equivalent or better) name matching software algorithm. The system will present the caseworker with possible matches found for each of the participants.
- 1.4.2 The system will support the caseworker in resolving duplicate participants, selecting existing participants, and/or creating new participants to be linked to the case. The system will support the caseworker in identifying duplicate cases (cases where the CP, NCP, and at least one child are the same individuals and have the same roles).
- 1.4.3 If the case is a duplicate, the system will support the caseworker in updating case data, adding new participants, and/or changing case status. The system will maintain a status of Open, Closed, or Suspended for each case. The system will create a **Case Status Change Event** to record the changes.
- 1.4.4 If a duplicate case is a Foreign Case, the system will support the generation of the **Child Support Enforcement Transmittal #1** (#248), informing the referring jurisdiction that the case already exists on the system. If the duplicate case is not a foreign case, then the system will support the caseworker in the processing describe in *1.7 Jurisdiction Determination*.
- 1.4.5 If the case is not a duplicate, but there is insufficient information to establish a case, the system will support the caseworker in the processing described in *1.5 Information Request*.
- 1.4.6 If the case is not a duplicate and there is sufficient information to establish a case, the system will support the caseworker in the processing described in *1.6 Case Creation*.

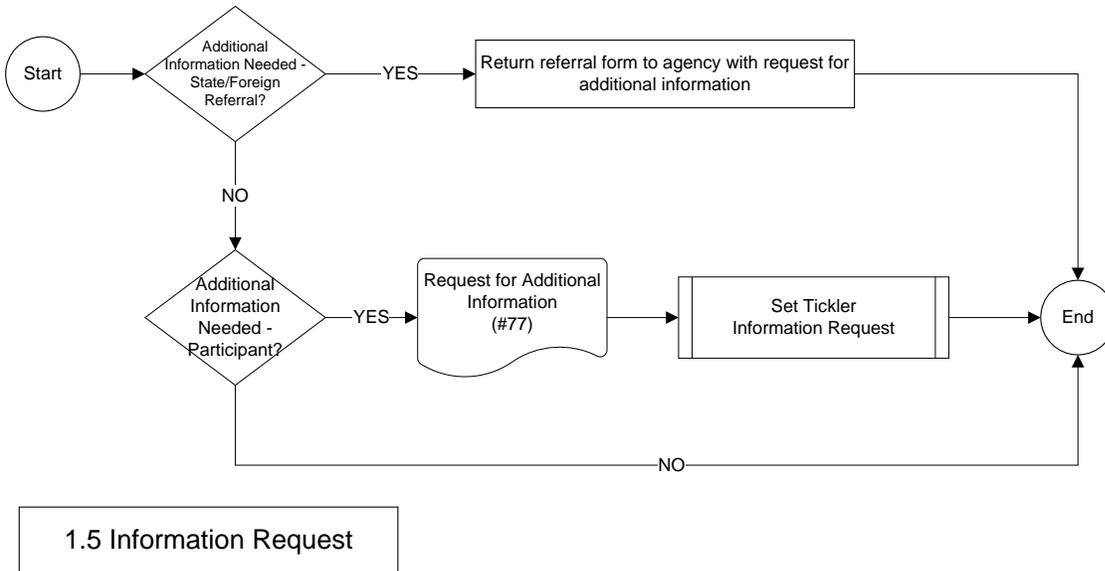


Data Groups Referenced:		
Case Status Data		

1.5 Information Request

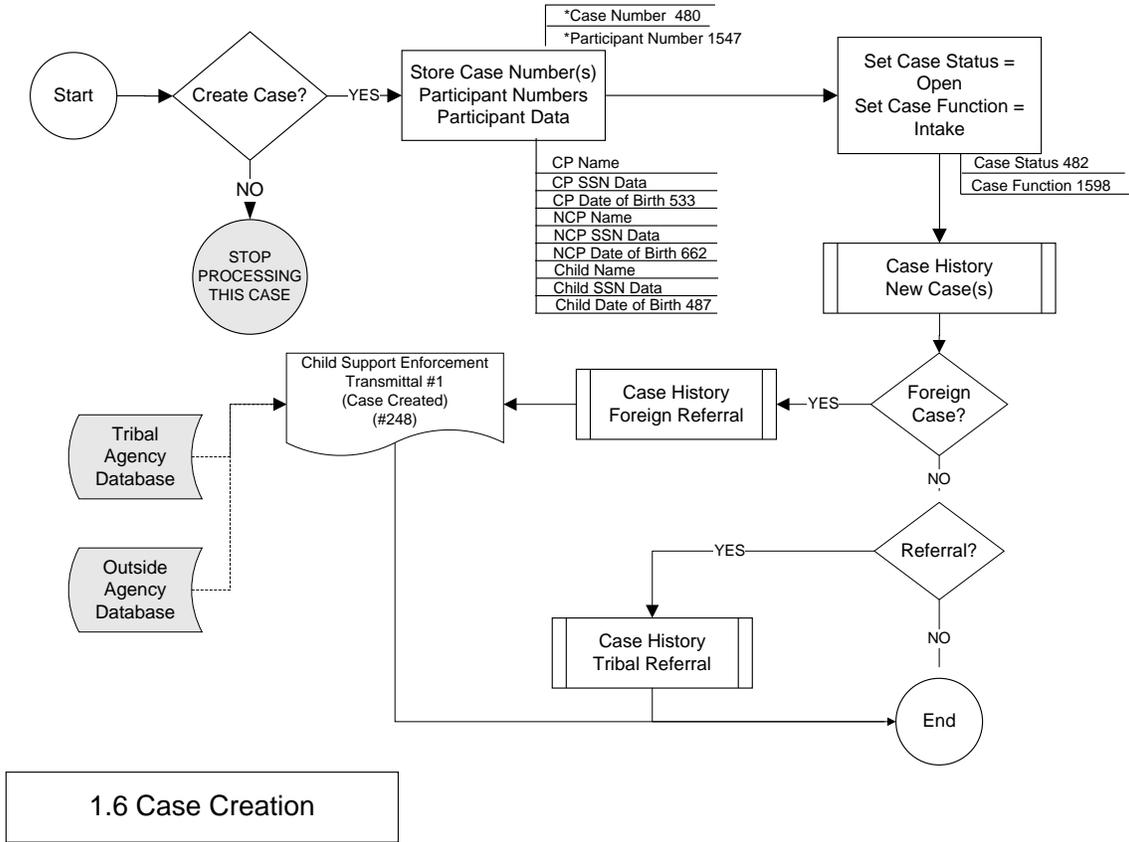
1.5.1 The system will support the creation of a ***Request for Additional Information Letter*** (#77) addressed to the CP.

1.5.2 The system will set an ***Information Request Tickler*** whenever a ***Request for Additional Information Letter*** (#77) is sent.



1.6 Case Creation

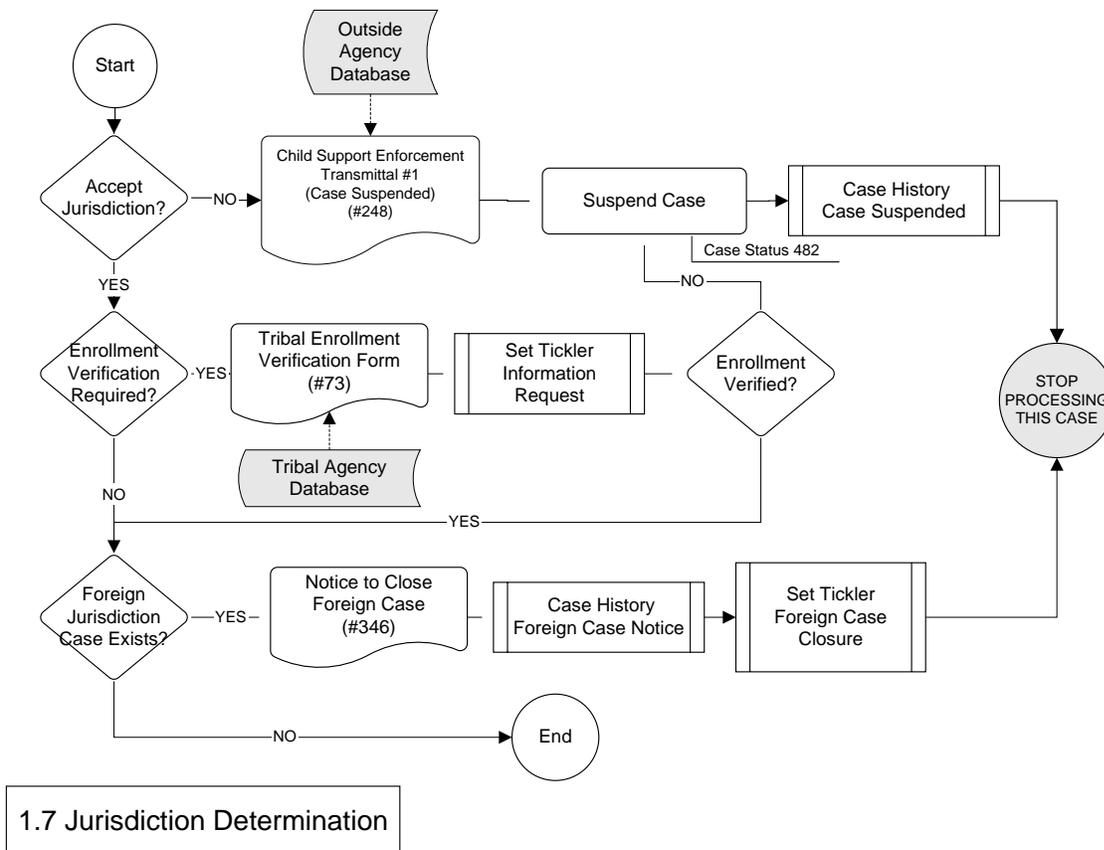
- 1.6.1** The system will support the creation of a case by the caseworker. The system will allow creation of the case even if all matches are not resolved. The temporary case number assigned will become permanent, participants will be linked to the case, and the case status will be set to *Open*. The system retrieves the temporarily stored participant information that has been entered so far, along with the temporary Case Number, any existing Participant Numbers that may have been assigned to the case, and creates a tribal IV-D case on the system. The Case Number is a unique number automatically assigned by the system. This number in combination with the unique numbers assigned to the CP, NCP, and Child (ren) will uniquely identify each case and allow for the capture all the information on either the application form or referral. The unique Participant Number created during the match and creation process will remain with that individual, regardless of how many cases he or she participates in.
- 1.6.2** If a case is not created, no further processing on the temporary case will be performed. New participants created will remain on the system
- 1.6.3** The system will create a **New Case Event** when a case is created.
- 1.6.4** If the case is a foreign referral, the system will create a **Foreign Referral Case Event** and generate a **Child Support Enforcement Transmittal #1** (#248) indicating a tribal case has been created.
- 1.6.5** If the case is a tribal referral, the system will create a **Tribal Referral Case Event**.
- 1.6.6** The system will support the processing in *1.7 Jurisdiction Determination*.



Data Groups Referenced:		
Child Name	Child SSN Data	CP Name
CP SSN Data	NCP Name	NCP SSN Data

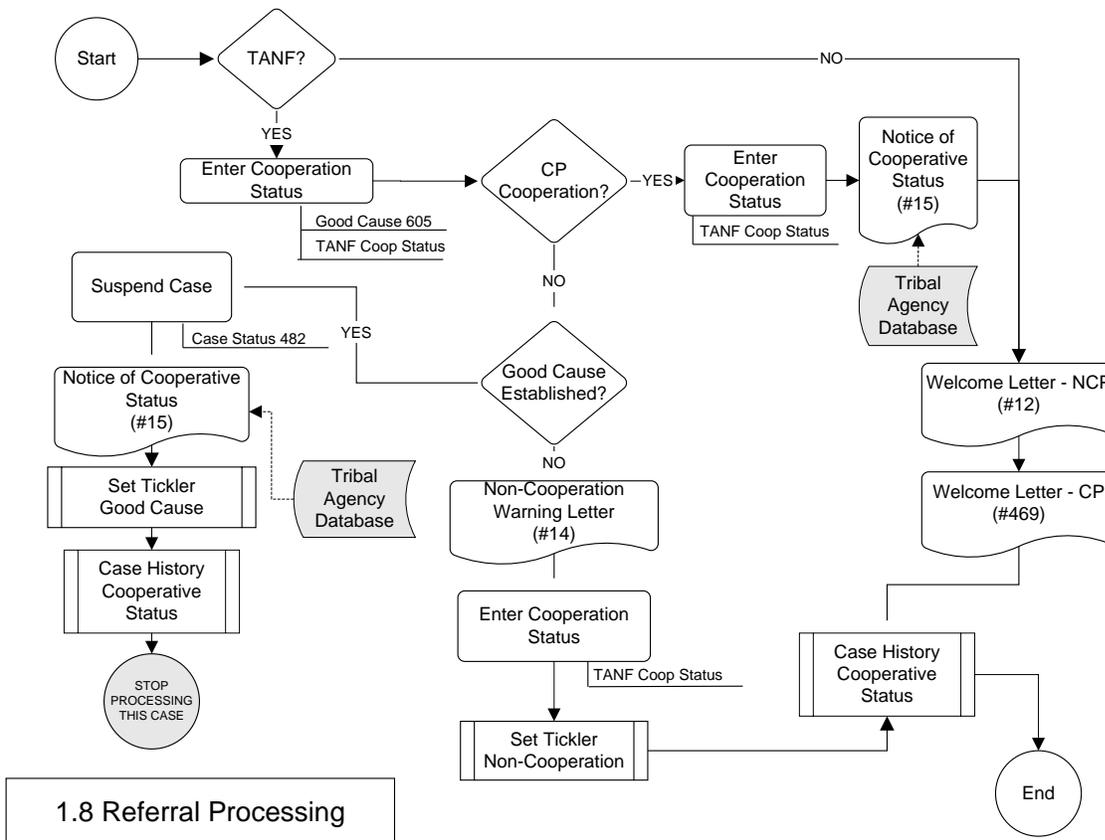
1.7 Jurisdiction Determination

- 1.7.1 If the tribe declines to accept jurisdiction on a case, the system will allow the caseworker to set case status to *Suspended*, it will generate a **Child Support Enforcement Transmittal #1** (#248) and create a **Case Suspended Event**.
- 1.7.2 If tribal enrollment verification is required, the system will generate a **Tribal Enrollment Verification Form** (#73) and set an **Information Request Tickler**. If tribal enrollment is not verified, the system will allow the caseworker to set case status to *Suspended* and will generate a **Case Suspended Event**.
- 1.7.3 If the CP has an open case in the foreign jurisdiction, the system will generate a **Notice to Close Foreign Case** (#346), create a **Foreign Case Notice Event**, and set a **Foreign Case Closure Tickler**.



1.8 Referral Processing

- 1.8.1 If the case is a TANF case and the CP has cooperated, the system will generate a Notice of Cooperative Status (#15), a Welcome Letter – NCP (#12), and a Welcome Letter – CP (#469). If the case is not a TANF case, the system will generate a Welcome Letter – NCP (#12), and a Welcome Letter – CP (#469).
- 1.8.2 If the case is a TANF case and the CP has not cooperated and Good Cause has not been established, the system will generate a Non-Cooperation Warning Letter (#14) and will set a Non-Cooperation Tickler.
- 1.8.3 If the case is a TANF case and the CP has not cooperated and Good Cause has been established, the system will set the case status to Suspended, generate a Notice of Cooperative Status (#15), and will set a Good Cause Tickler.
- 1.8.4 Any change in cooperative status will cause the system to create a Cooperative Status Event.

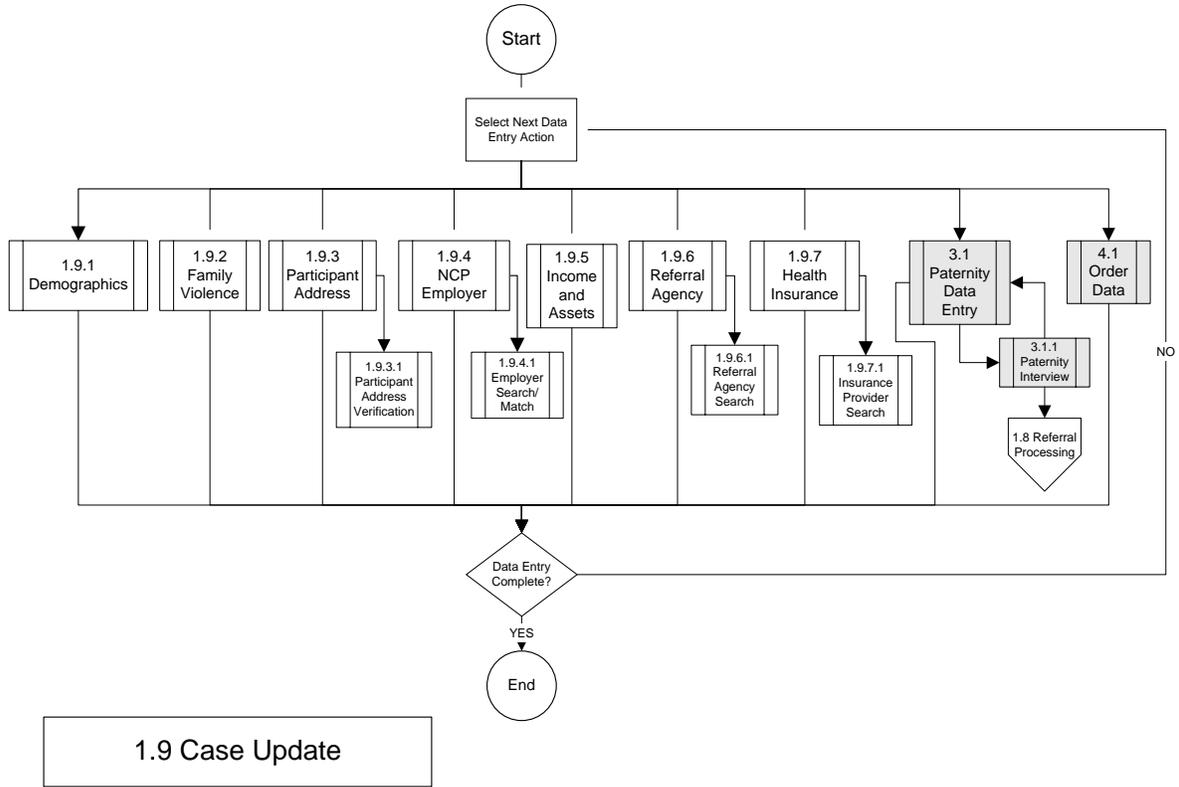


Data Groups Referenced:		
TANF Coop Status		

1.9 Case Update

1.9.1 The system will accept case data, including participant demographics, family violence information, address information, employer information, income data, referring agency information, and health insurance information.

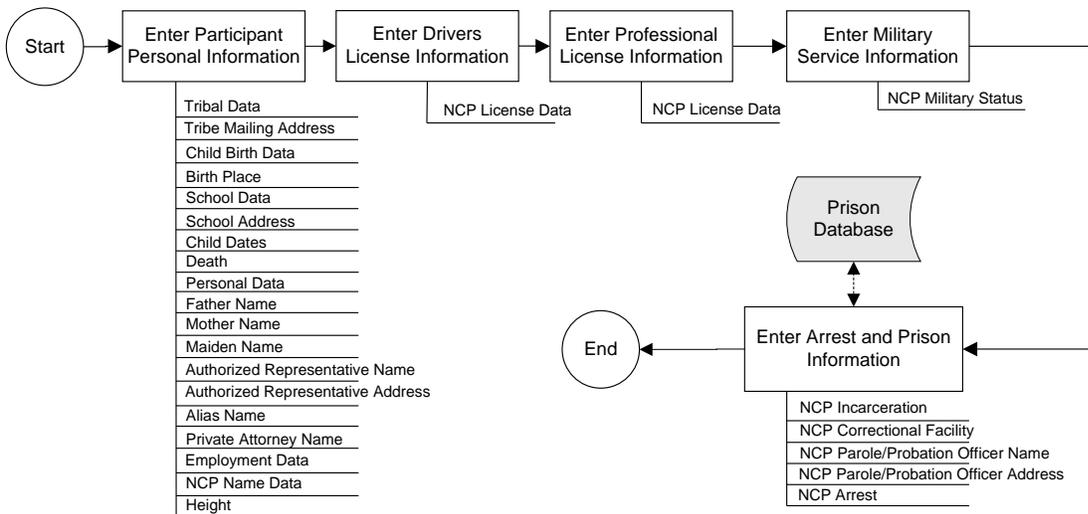
1.9.2 Case data may be updated at any time during the life of a case.



1.9.1 Demographics

1.9.1.1 The system will accept participant demographics, including personal information, driver’s license information, professional license information, military service, information, and incarceration information.

1.9.1.2 The system will neither have any method of entering Race nor will it display Race unless configured to use Race in section 8.3 *System Configuration*.



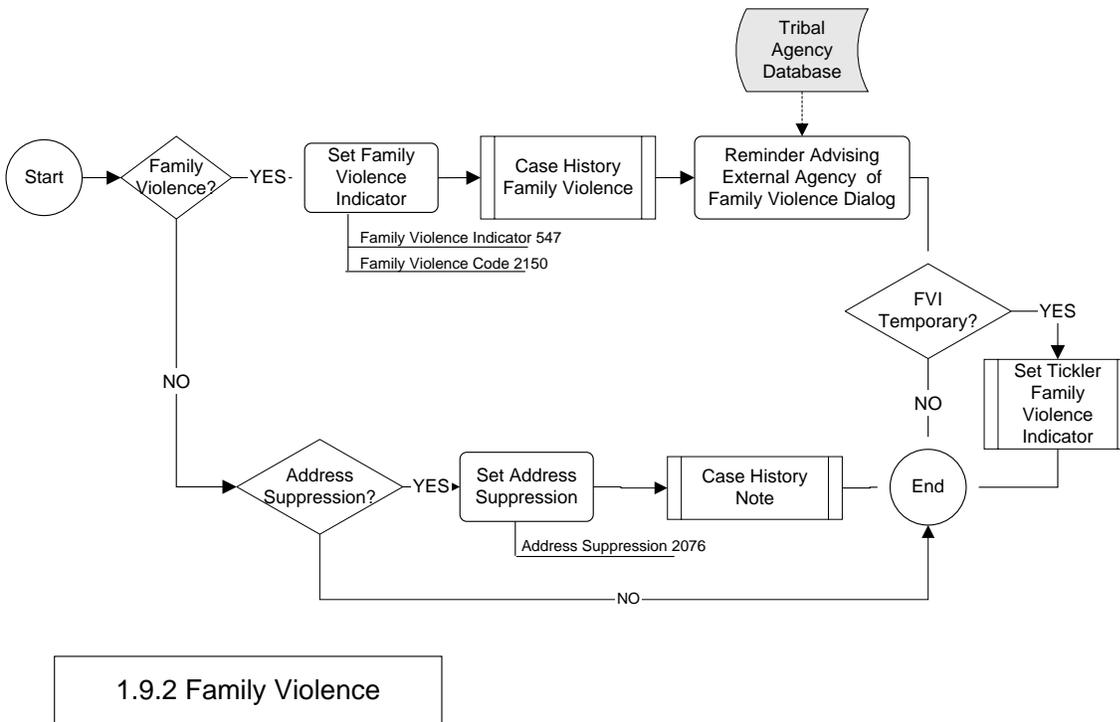
1.9.1 Demographics

Data Groups Referenced:		
Authorized Rep Address	Authorized Rep Name	Child Alias Name
Child Birth Data	Child Dates	Child Personal Data
Child Tribal Data	CP Alias Name	CP Birth Place
CP Death	CP Employment Data	CP Fathers Name
CP Height	CP Mother Name	CP Personal Data
CP Tribal Data	NCP Alias Name	NCP Arrest
NCP Birth Place	NCP Correctional Facility	NCP Death

Data Groups Referenced:		
NCP Employment Data	NCP Fathers Name	NCP Height
NCP Incarceration	NCP License Data	NCP Military Status
NCP Mother	NCP Name Data	NCP Parole/Probation Officer Address
NCP Parole/Probation Officer Name	NCP Personal Data	NCP Tribal Data
Private Attorney Name	School Address	School Data
Tribe Data	Tribe Mailing Address	

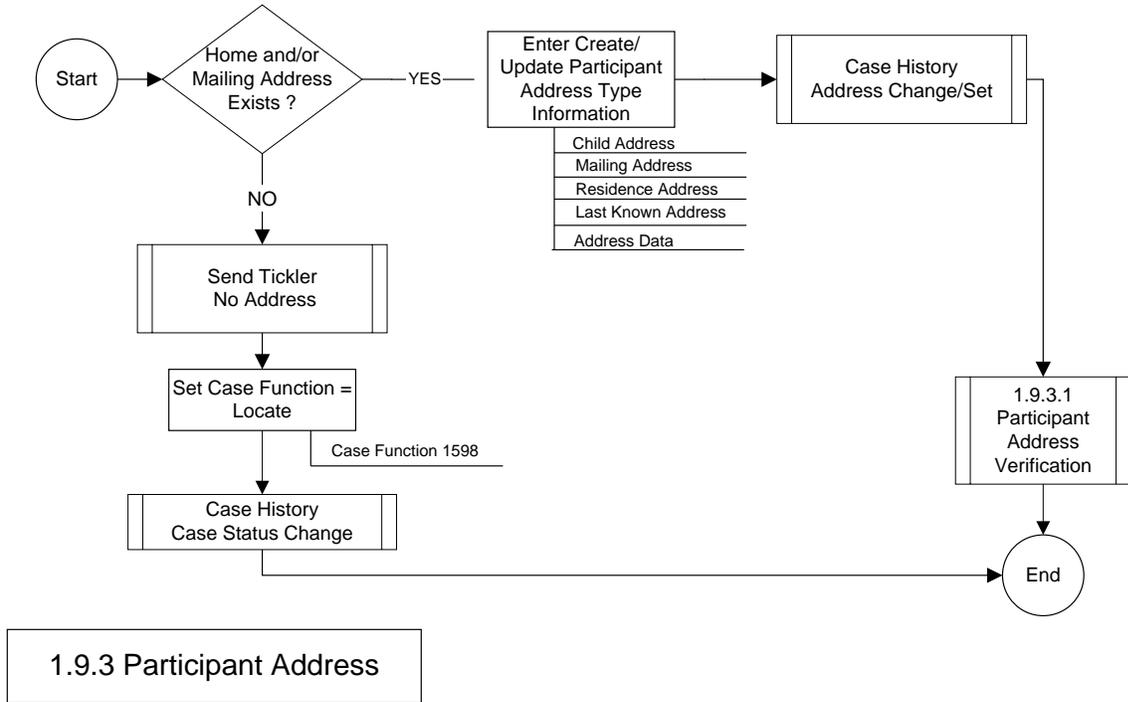
1.9.2 Family Violence

- 1.9.2.1** The system will accept information on family violence. It will allow the caseworker to enter a Family Violence Code per case in accordance with tribal policy. When the Family Violence Code is entered, the system will create a **Family Violence Event** and will prompt the caseworker to advise the appropriate external agency.
- 1.9.2.2** The system will allow the suppression of addresses. It will allow the caseworker to set the Address Suppression Indicator per case in accordance with tribal policy. When the Address Suppression Indicator is set, the system will prompt the caseworker to create a **Case History Note** concerning the suppression.
- 1.9.2.3** The system will set a **Family Violence Tickler** if the Family Violence Code value is set to Temporary.



1.9.3 Participant Address

- 1.9.3.1 The system will accept information on participant residence and mailing addresses.
- 1.9.3.2 If a new address is entered, the system will create an **Address Change/Set Event** and will perform the processing in 1.9.3.1 *Participant Address Verification*.
- 1.9.3.3 If a no address is entered, the system will create a **Case Status Change Event** and send a **No Address Tickler**.

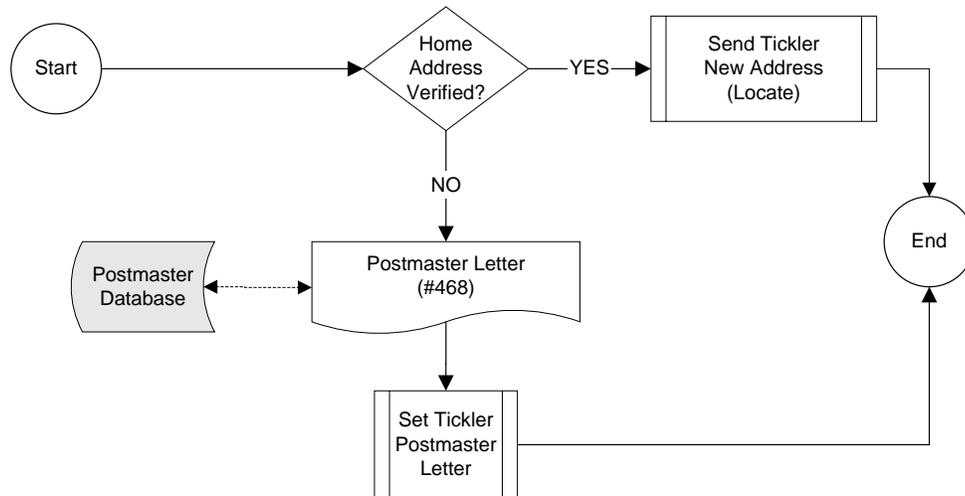


Data Groups Referenced:		
Child Address	CP Last Known Address	CP Mailing Address
CP Residence Address	NCP Address Data	NCP Last Known Address
NCP Mailing Address	NCP Residence Address	

1.9.3.1 Participant Address Verification

1.9.3.1.1 If a new participant address is verified or if an old address becomes verified, the system will send a New Address Tickler.

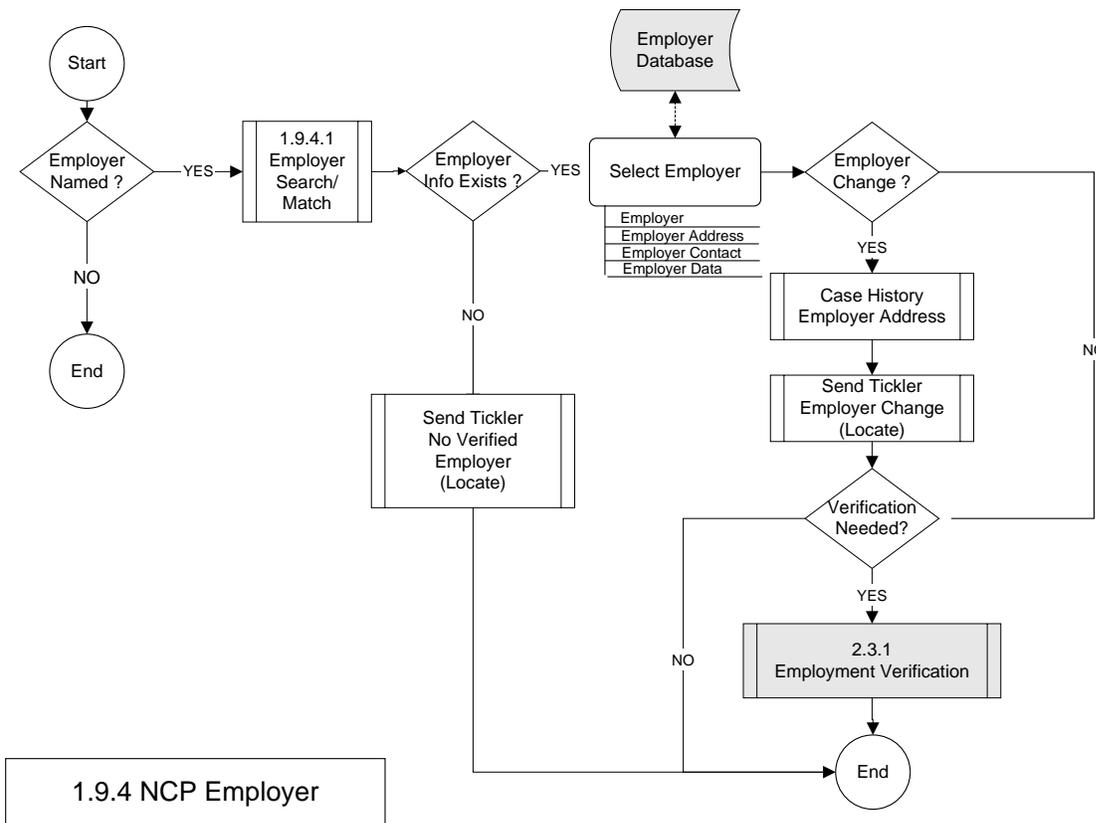
1.9.3.1.2 If a new address is not verified, the system will generate a *Postmaster Letter* (#468) and will set a Postmaster Letter Tickler.



1.9.3.1 Participant Address Verification

1.9.4 NCP Employer

- 1.9.4.1** The system will support a database of employer information, including name, full address, federal and state identifiers, tribe or tribal member ownership information, registered agents, and the name of the reservation (if any) the business is located on. The system will match or add employers identified for a participant with the data in the employer database according to the processing in *1.9.4.1 Employer Search*.
- 1.9.4.2** If no employer information has been identified, the system will send a No Verified Employer Tickler to the responsible Locate caseworker.
- 1.9.4.3** If new employer information has been matched with or added to the employer database, the system will send an Employer Change Tickler to the responsible Locate caseworker and create an Employer Address Event.
- 1.9.4.4** If employment is not verified, the system will perform the processing in 2.3.1 Employment Verification.

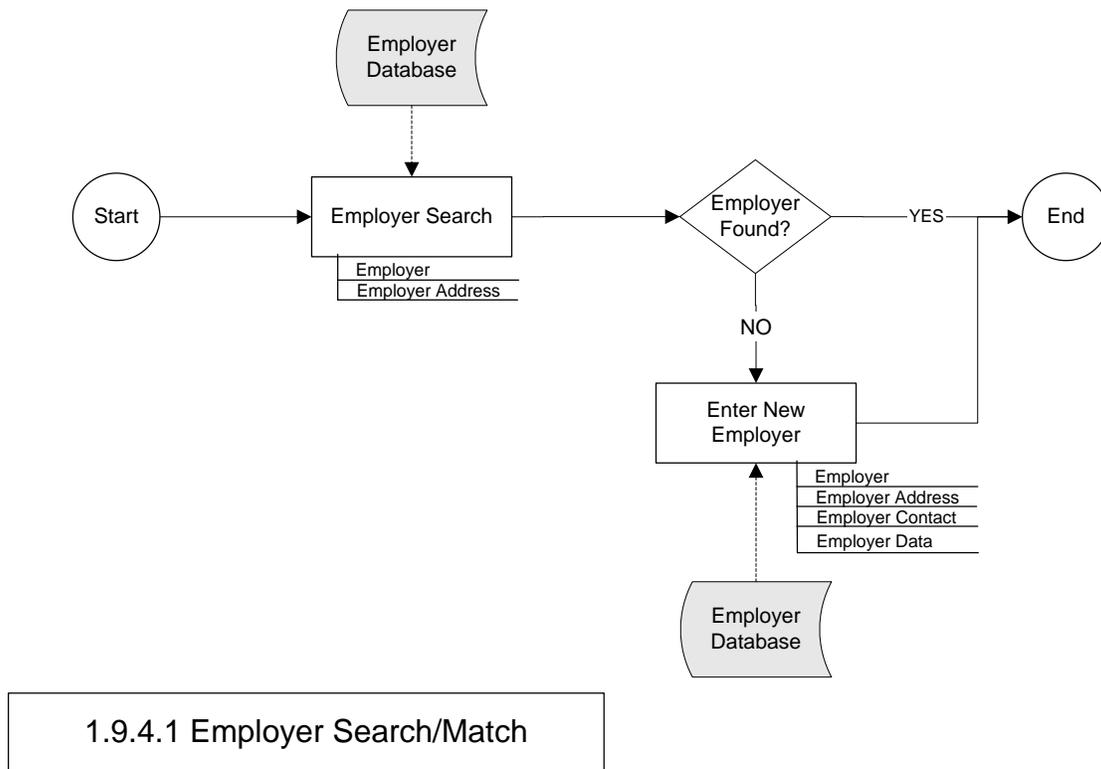


1.9.4 NCP Employer

Data Groups Referenced:		
CP Employer Address	CP Employment Data	NCP Employer
NCP Employer Address	NCP Employer Contact	NCP Employer Data

1.9.4.1 Employer Search/Match

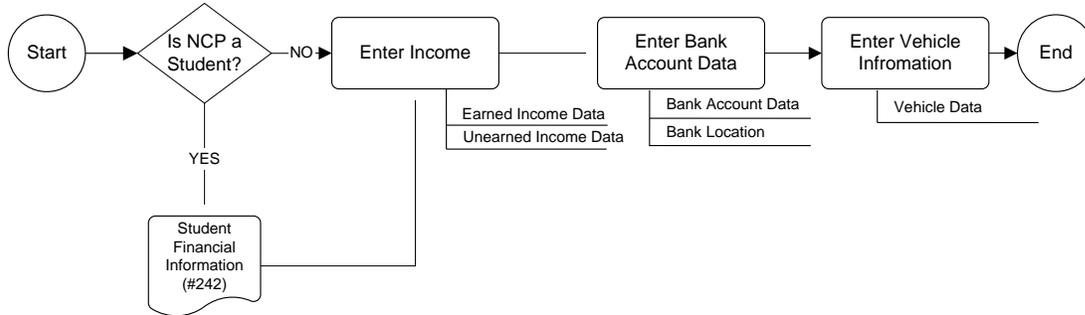
- 1.9.4.1.1** The system will match employer information entered by the caseworker with data in the employer database.
- 1.9.4.1.2** If the employer is found in the employer database, the system will continue the processing in *1.9.4 NCP Employer*.
- 1.9.4.1.3** If the employer is not found in the employer database, the system will allow the caseworker to enter the employer information in the employer database and then will continue the processing in *1.9.4 NCP Employer*.



Data Groups Referenced:		
CP Employer Address	NCP Employer	NCP Employer Address
NCP Employer Contact	NCP Employer Data	

1.9.5 Income and Assets

1.9.5.1 The system will support the entry of income information, including multiple sources and amounts, for all participants. The system will also support the entry of asset information, including vehicles and accounts in financial institutions. If the NCP is a student, the system will support the generation of a ***Student Financial Information Form (#242)***.



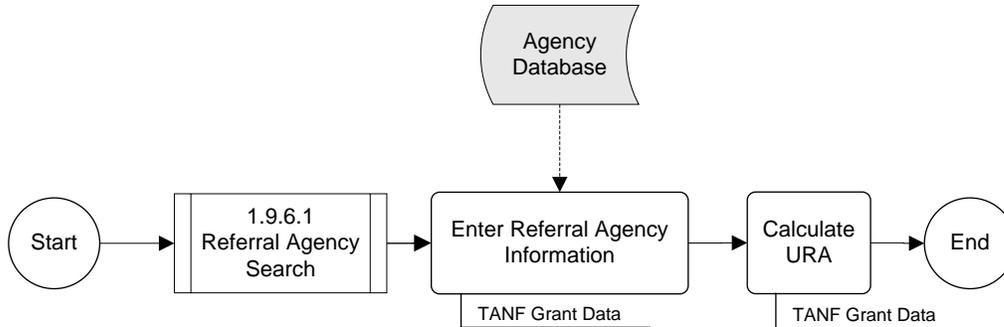
1.9.5 Income and Assets

Data Groups Referenced:		
CP Earned Income	CP Unearned Income	NCP Bank Account Data
NCP Bank Location	NCP Earned Income	NCP Unearned Income
NCP Vehicle		

1.9.6 Referral Agency

1.9.6.1 The system will support the search for information on referring agencies as described in 1.9.6.1 Referral Agency Search and will support the entry of information about public assistance grants.

1.9.6.2 The system will calculate Unreimbursed Assistance based on public assistance grants received.

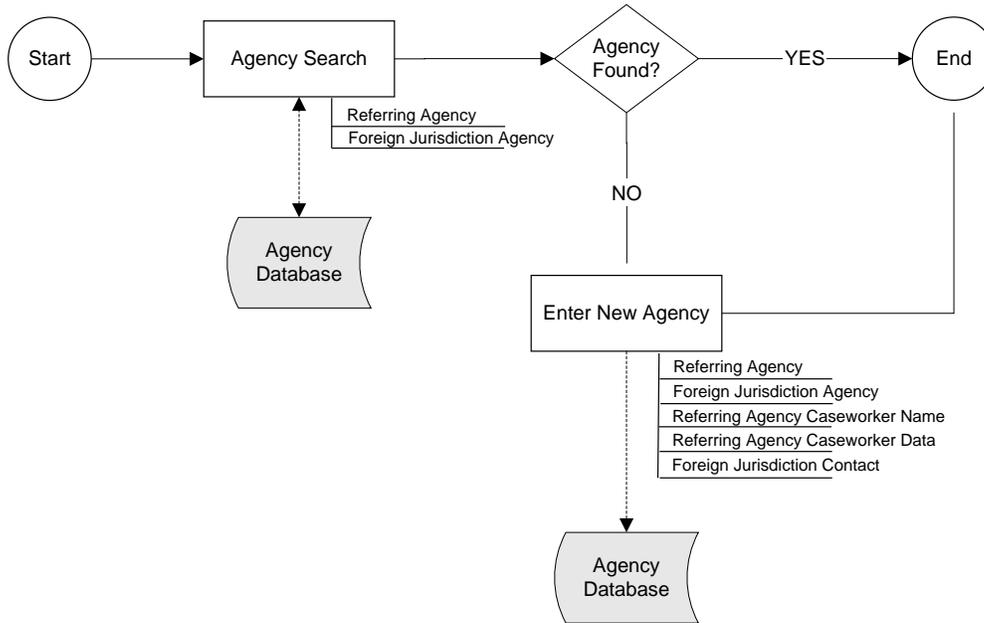


1.9.6 Referral Agency

Data Groups Referenced:		
TANF Grant Data		

1.9.6.1 Referral Agency Search

1.9.6.1.1 The system will support the search for and the entry of information about referring agencies, including name, tribe, full address, caseworker name, and caseworker contact information.

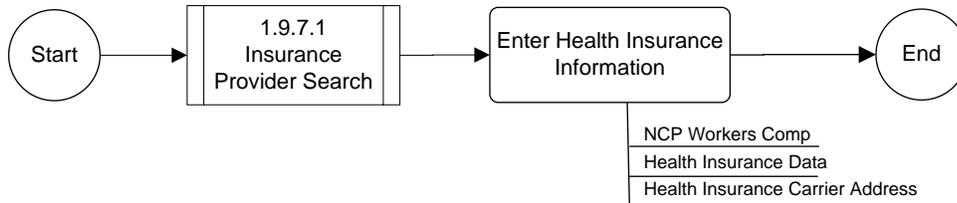


1.9.6.1 Referral Agency Search

Data Groups Referenced:		
Foreign Jurisdiction Agency	Foreign Jurisdiction Contact	
Referring Agency	Referring Agency Caseworker Data	Referring Agency Caseworker Name

1.9.7 Health Insurance

- 1.9.7.1** The system will support a database of insurance provider information, including name, full address, and carrier number. The system will match or add providers identified for a participant with the data in the insurance provider database according to the processing in *1.9.7.1 Insurance Provider Search*.
- 1.9.7.2** The system will support the entry of insurance information, linked to the provider in the insurance provider database, for all participants. Insurance information will include availability, type, premium, coverage, policy holder, group number, policy number, and the names of covered participants.



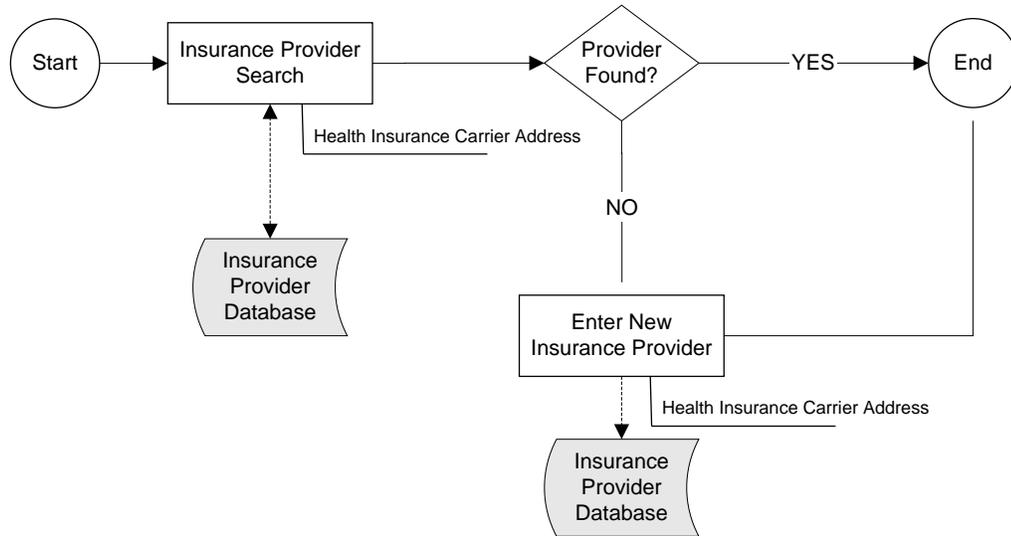
1.9.7 Health Insurance

Data Groups Referenced:		
Health Insurance Carrier Address	Health Insurance Data	NCP Workers Comp

1.9.7.1 Insurance Provider Search

1.9.7.1.1 The system will match insurance provider information entered by the caseworker with data in the insurance provider database.

1.9.7.1.2 If the provider is not found in the database, the system will allow the caseworker to enter the provider information in the database.

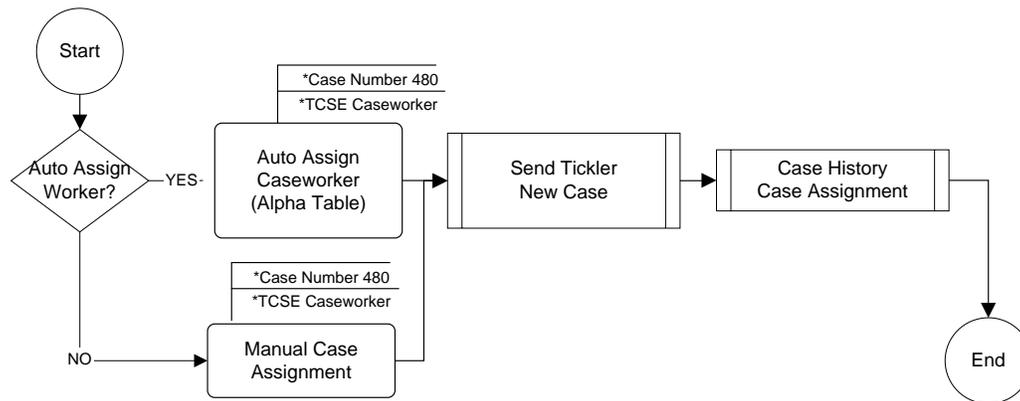


1.9.7.1 Insurance Provider Search

Data Groups Referenced:		
Health Insurance Carrier Address	Health Insurance Data	

1.10 Caseworker Assignment

- 1.10.1** The system will automatically assign caseworker to cases based on the initial letter of the caseworker’s name.
- 1.10.2** The system will allow for a manual override of this assignment.
- 1.10.3** When a new case is assigned to a caseworker, the system will send a New Case Tickler and create a **Case Assignment Event**.

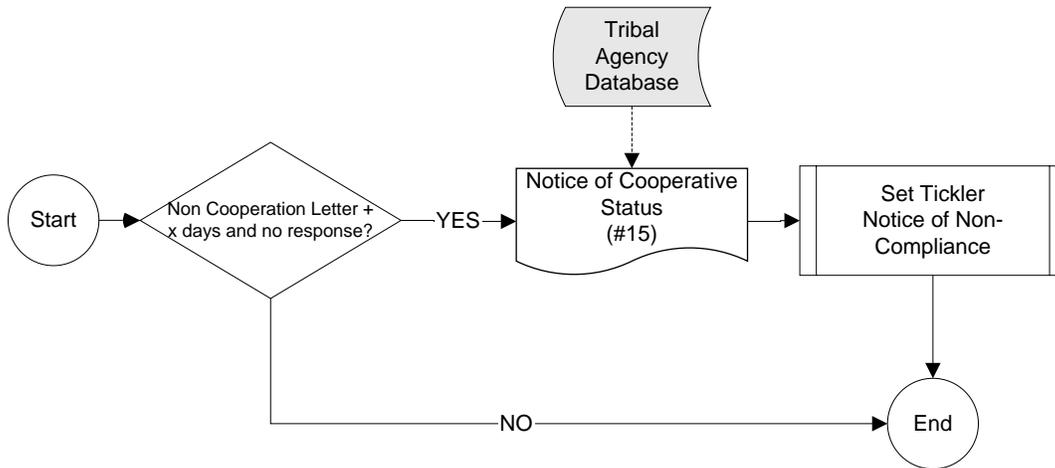


1.10 Caseworker Assignment

Data Groups Referenced:		
TCSE Caseworker Name		

1.11 Intake Document Monitor

- 1.11.1** If no response has been received to a ***Non-Cooperation Warning Letter*** (#14) within the number of calendar days specified by the caseworker, the system will automatically generate a ***Notice of Cooperative Status*** (#15) indicating non-cooperation and will set a ***Notice of Non-Compliance Tickler***.



1.11 Intake Document Monitor

1.12 Intake Alert Monitor

1.12.1 The system will send the following ticklers on the day specified by the caseworker when setting the tickler:

1.12.1-a Foreign Referral

1.12.1-b Notice of Non-Compliance

1.12.1-c Case Suspended

1.12.1-d Information Request

1.12.1-e Foreign Case Closure

1.12.1-f Postmaster Letter

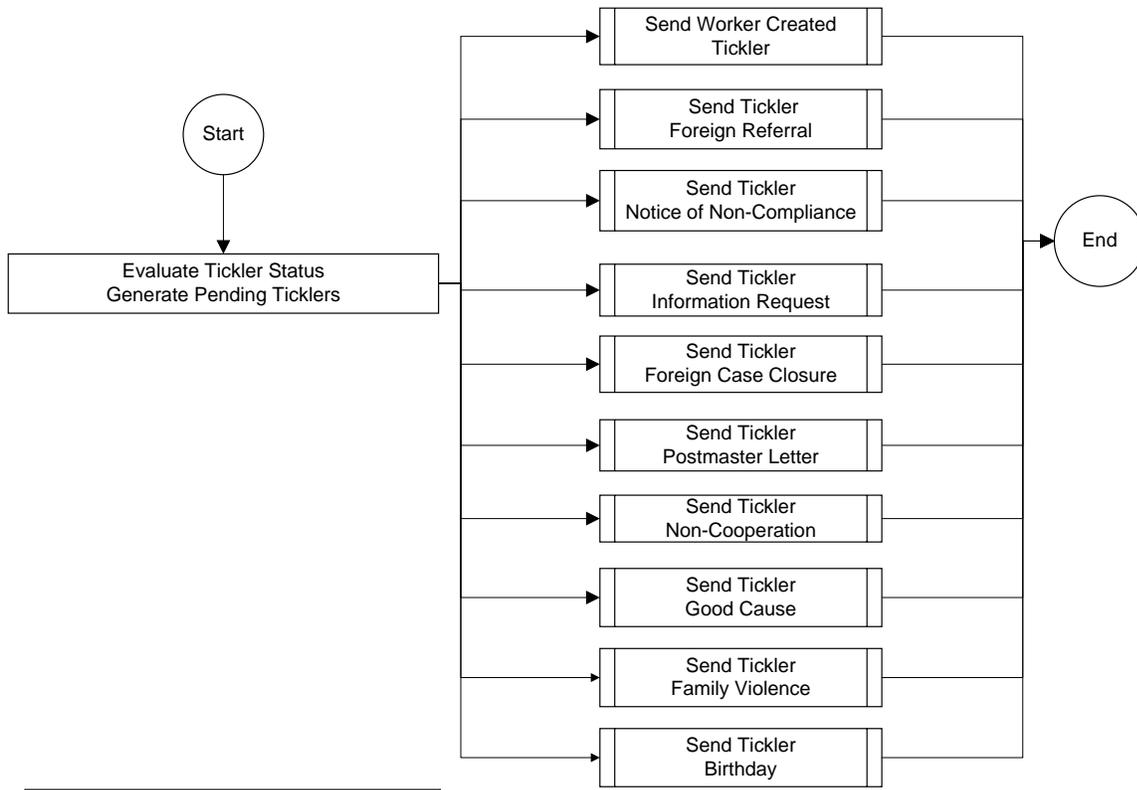
1.12.1-g Non-Cooperation

1.12.1-h Good Cause

1.12.1-i Family Violence

1.12.2 The system will send all caseworker-generated ticklers on the day specified by the caseworker when setting the tickler.

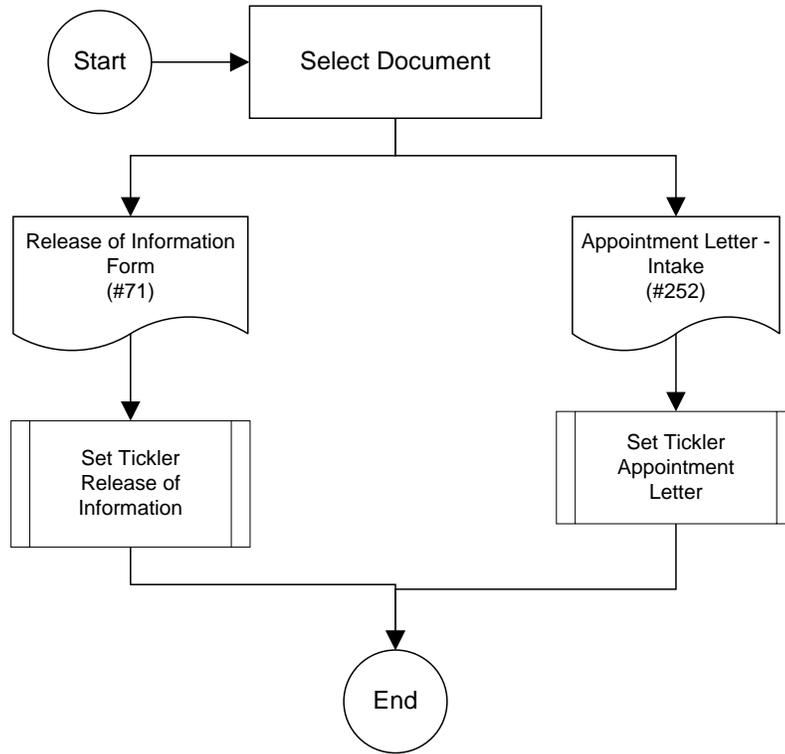
1.12.3 The system will send a Birthday Tickler when a Child Date of Birth equals the current date.



1.12 Intake Alert Monitor

1.13 Miscellaneous Documents

1.13.1 The system will generate a **Release of Information Form (#71)** and an **Appointment Letter - Intake (#252)** upon demand by the caseworker.



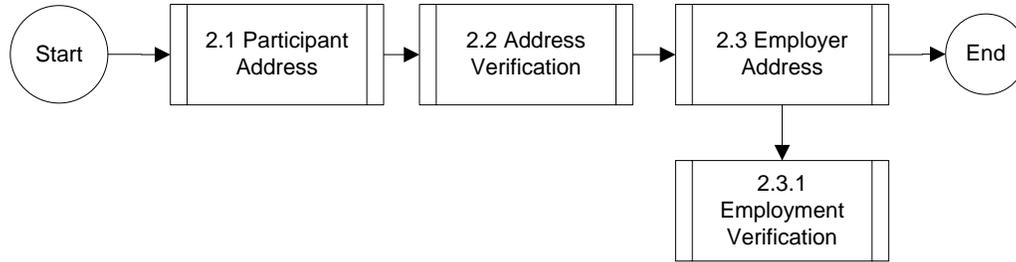
1.13 Miscellaneous Documents

2.0 Locate Process

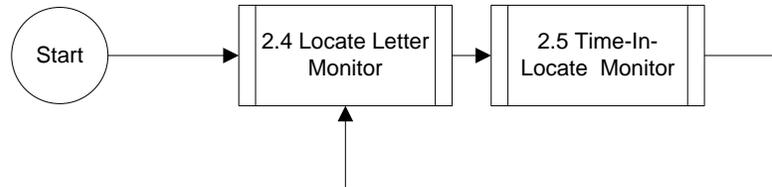
2.0.1 The system will support the caseworker in locating participants, verifying addresses, locating employers, and verifying employment.

2.0.2 The system will automatically monitor the response time to outgoing documents and monitor the amount of time the case has spent in the locate function. The system will provide ticklers to the caseworker.

Address Process



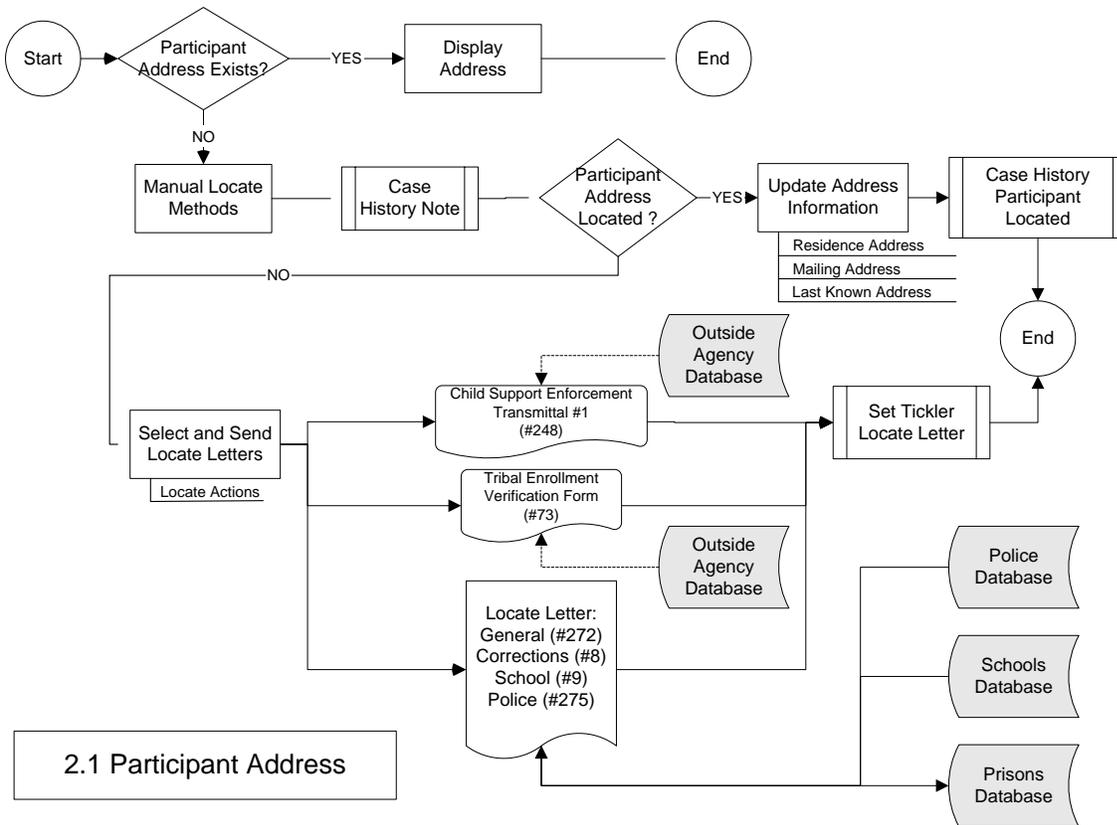
Locate Monitor Process



2.0 Locate Overview

2.1 Participant Address

- 2.1.1 The system will provide for entry and display of address information about participants in a case.
- 2.1.2 The system will automatically check to see if an address for a selected participant exists on the system and will automatically display the address information if it exists.
- 2.1.3 If there is no address in the system for the participant, then the caseworker will make manual locate attempts. Manual locate attempts include actions such as making a phone call to the CP, the NCP's family or relatives, and/or contacting the tribal police. The system will support the documentation of these manual locate attempts on the system as **Case History Notes**.
- 2.1.4 If the manual locate attempts are successful and an address is obtained for the participant, then the system will provide for the entry of the address by the caseworker and the automatic creation of a **Participant Located Event**.
- 2.1.5 If the manual locate attempts are unsuccessful, the caseworker determines what locate letters should be generated based on tribal business practices and procedure. The system will automatically generate the **Locate Letters** (Document #8, #9, #272, and #275) selected by the caseworker. The system will automatically populate the **Locate Letters** with participant name and with recipient's name and address.
- 2.1.6 The system will also automatically generate a **Child Support Enforcement Transmittal #1** (#248) and/or a **Tribal Enrollment Verification Form** (#73) if selected by the caseworker
- 2.1.7 The system will create a **Locate Letter Tickler** for each of these letters sent.



2.1 Participant Address

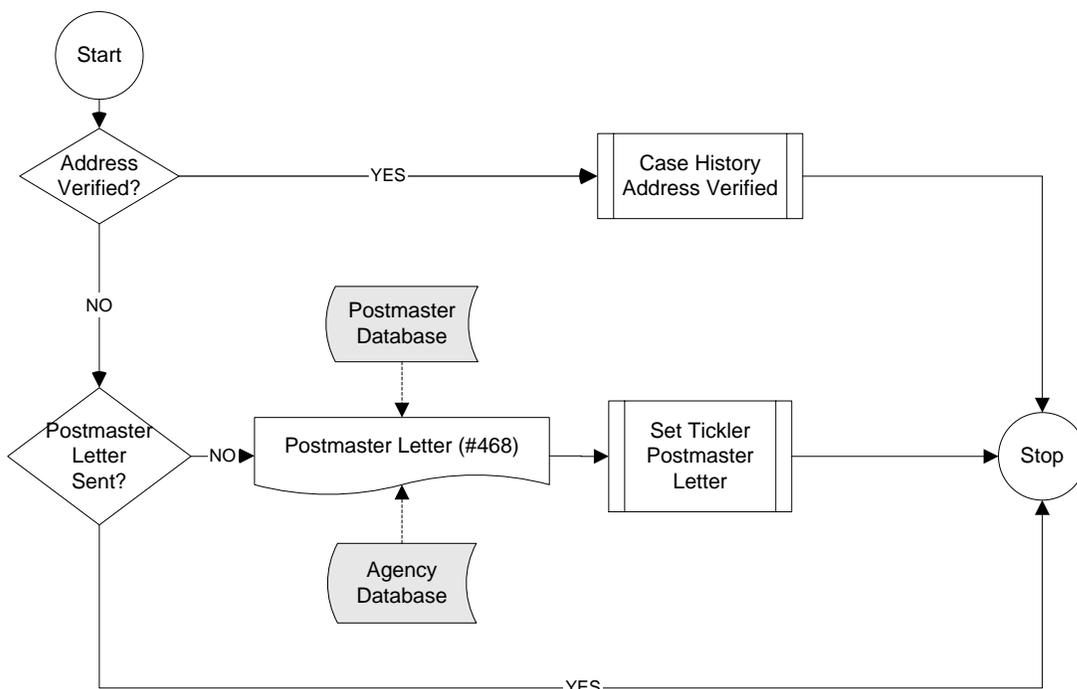
Data Groups Referenced:		
Child Address	CP Address Data	CP Mailing Address
CP Last Known Address	CP Residence Address	Locate Actions
NCP Address Data	NCP Last Known Address	NCP Mailing Address
NCP Residence Address		

2.2 Address Verification

2.2.1 Whenever a new, changed, or unverified mailing address is entered for a participant in the database, the system will automatically generate a ***Postmaster Letter*** (#468). The system will automatically populate the ***Postmaster Letters*** with participant name and with the recipient’s name and address. When verifying new or updated address information, the system must send only one ***Postmaster Letter*** (#468) per person regardless of the number of cases in which the participant may be a member.

2.2.2 The system will create a ***Postmaster Letter Tickler*** for each ***Postmaster Letter*** sent.

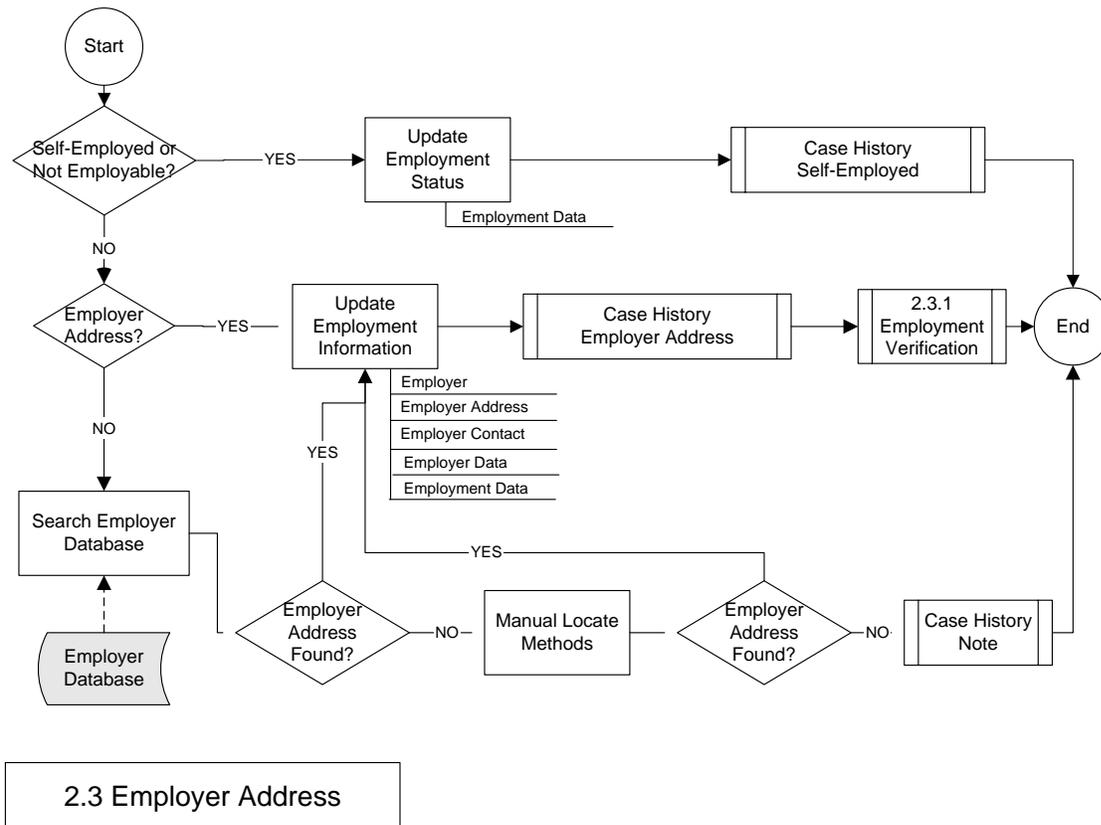
2.2.3 If the caseworker marks the address as verified on the system, the system will automatically create an ***Address Verified Event***.



2.2 Address Verification

2.3 Employer Address

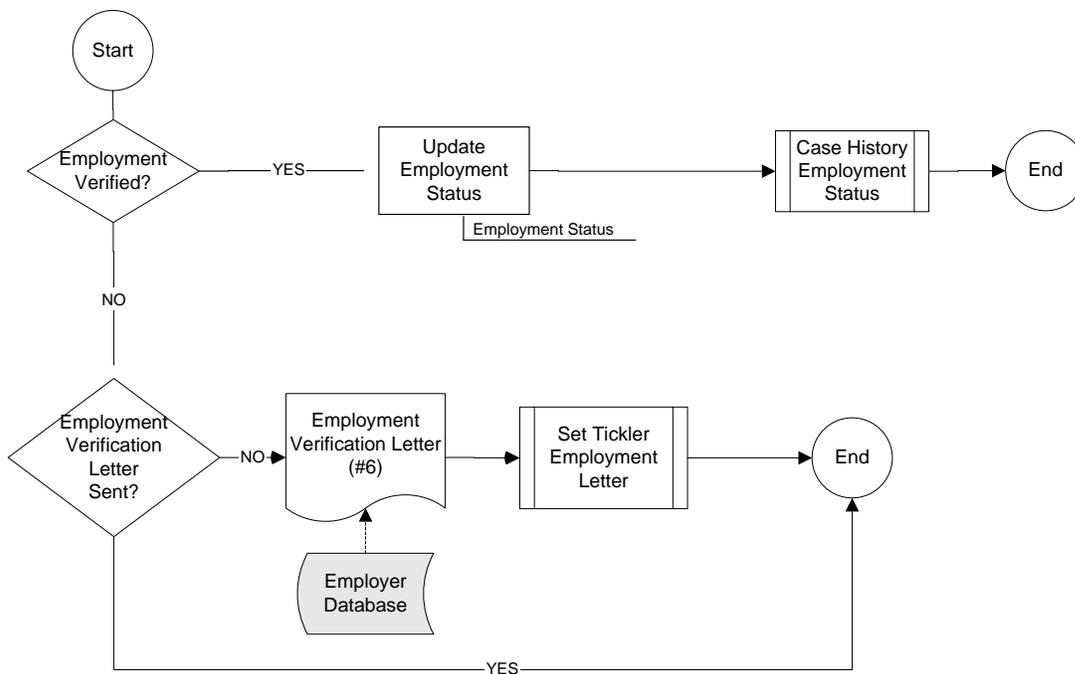
- 2.3.1** The system will provide entry and display of address information about employers of participants. If a participant is self-employed or unemployable, the system will support adding this data and will automatically create a **Self-Employed Event**. No further employer address verification is required for self-employed or unemployable participants.
- 2.3.2** The system will automatically check to see if an address for an identified employer exists on the system and will automatically display the address information.
- 2.3.3** If an address for the employer is found on the system, the system will update the participant’s information, create an **Employer Address Event**, and direct the caseworker to proceed to *2.3.1 Employment Verification*.
- 2.3.4** If there is no address in the system for the employer, then the caseworker will make manual locate attempts. The system will support the documentation of these manual locate attempts on the system as **Case History Notes**.
- 2.3.5** If the manual locate attempts are successful and an address is obtained for the employer, then the system will support the entry of the new employer and the new address and will create an **Employer Address Event**.



Data Groups Referenced:		
CP Employer Address	CP Employment Data	NCP Employer
NCP Employer Address	NCP Employer Contact	NCP Employer Data
NCP Employment Data		

2.3.1 Employment Verification

- 2.3.1.1 The system will provide for the entry of employment status information. If the NCP's employment becomes verified according to tribal policy, the system will create an **Employment Status Event** to document that a verified employer has been added for the participant.
- 2.3.1.2 Whenever an unverified employment status exists for an NCP, the system will automatically generate an **Employment Verification Letter** (#6). The system will automatically populate the **Employment Verification Letter** (#6) with the participant's name and with the employer's name and address. When verifying new or updated employment information, the system must send only one employer verification letter regardless of the number of cases in which the NCP may be a member.
- 2.3.1.3 The system will create an **Employment Letter Tickler** for each **Employment Verification Letter** (#6) sent.
- 2.3.1.4 If the caseworker marks an employment as verified on the system, the system will create an **Employment Status Event**.

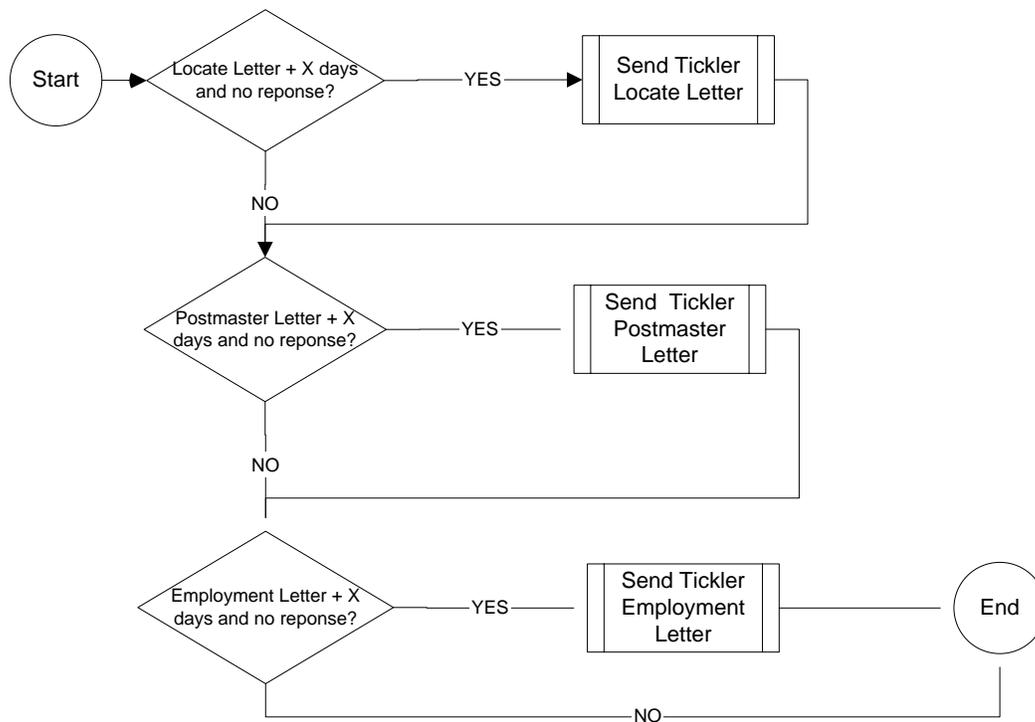


2.3.1 Employment Verification

Data Groups Referenced:		
CP Employment Data	NCP Employment Data	

2.4 Locate Letter Monitor

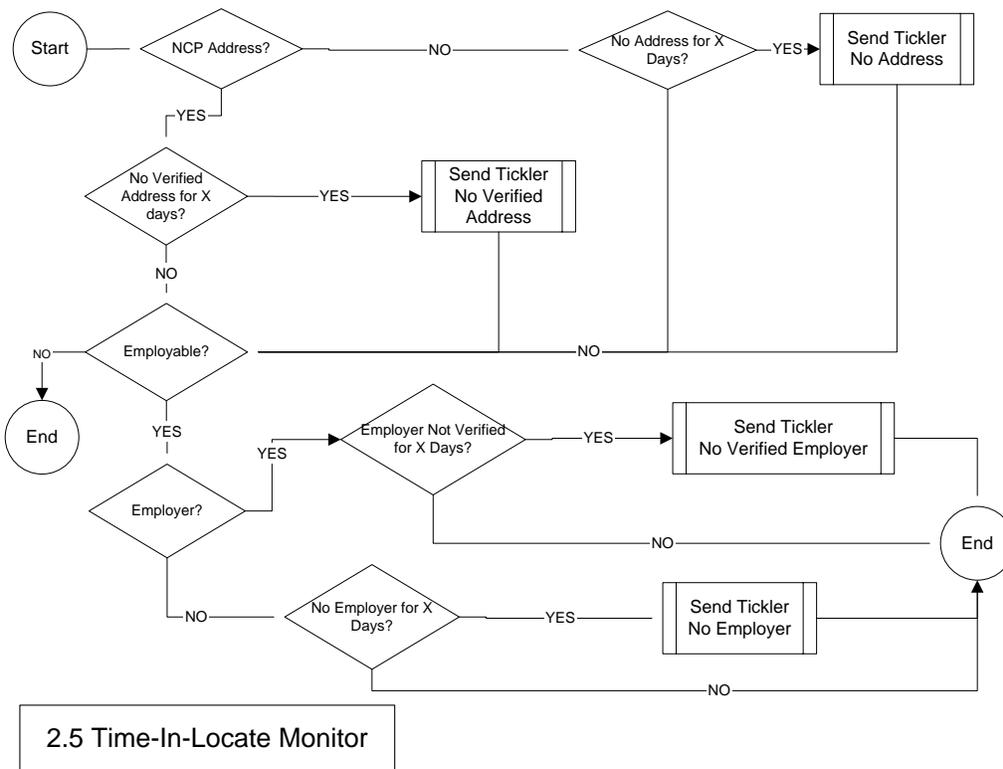
- 2.4.1 If no response has been received to a **Locate Letter** (Document #8, #9, #272, and #275) with the number of calendar days specified by the caseworker when setting the tickler, the system will automatically displays a **Locate Letter Tickler** on the caseworker's daily worklist for appropriate follow-up action.
- 2.4.2 If no response has been received to a **Postmaster Letter** (#468) with the number of calendar days specified by the caseworker when setting the tickler, the system will automatically displays a **Postmaster Letter Tickler** on the caseworker's daily worklist for appropriate follow-up action.
- 2.4.3 If no response has been received to an **Employment Verification Letter** (#6) with the number of calendar days specified by the caseworker when setting the tickler, the system will automatically displays an **Employment Verification Letter Tickler** on the caseworker's daily worklist for appropriate follow-up action.



2.4 Locate Letter Monitor

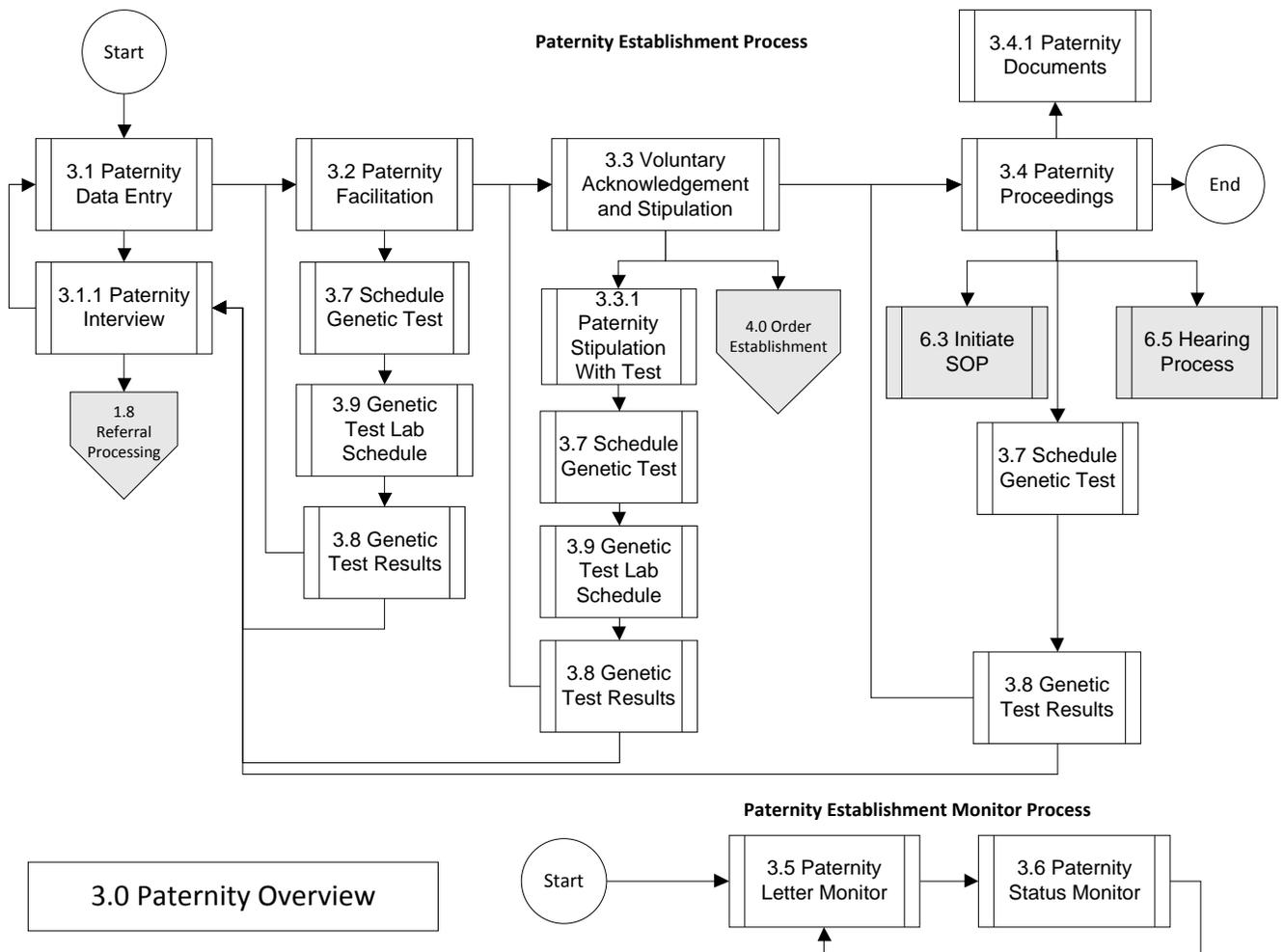
2.5 Time-In Locate Monitor

- 2.5.1** If a case has had no NCP address for the number of calendar days specified by tribal policy, the system will automatically display a No Address Tickler on the caseworker's daily worklist for appropriate follow-up action.
- 2.5.2** If a case has had an unverified NCP address for the number of calendar days specified by tribal policy, the system will automatically display a No Verified Address Tickler on the caseworker's daily worklist for appropriate follow-up action.
- 2.5.3** If a NCP is employable and has an employer and the employer has not been verified for the number of calendar days specified by tribal policy, the system will automatically display a No Verified Employer Tickler on the caseworker's daily worklist for appropriate follow-up action.
- 2.5.4** If a NCP is employable and has had no employer for the number of calendar days specified by tribal policy, the system will automatically display a No Employer Tickler on the caseworker's daily worklist for appropriate follow-up action.



3.0 Paternity Process

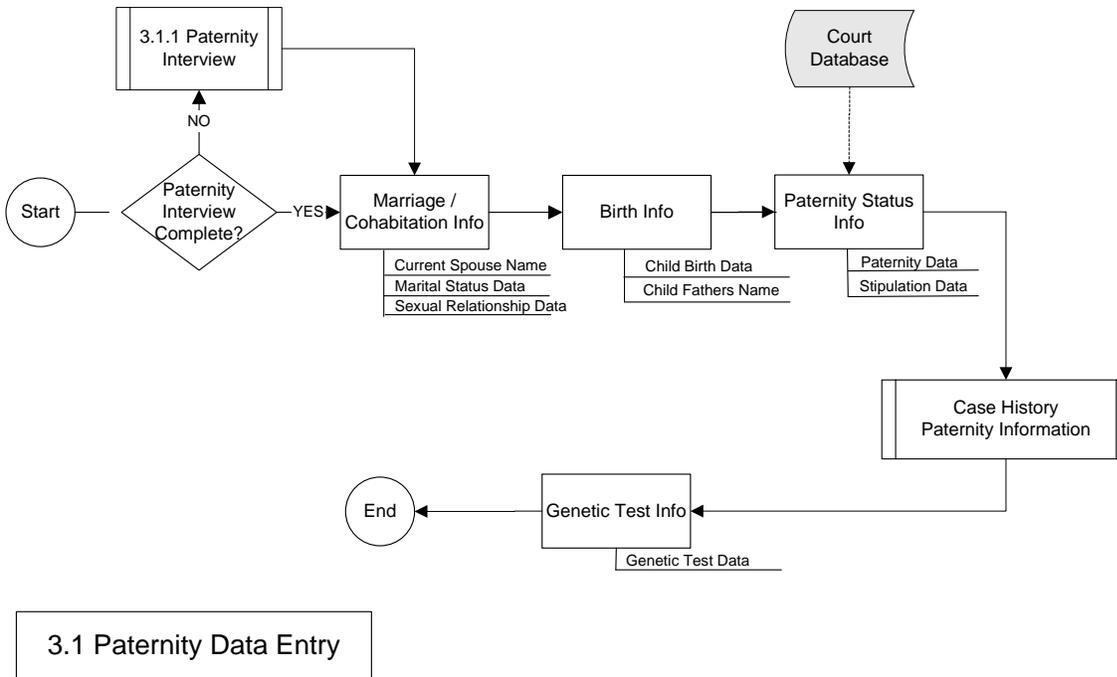
- 3.0.1 The system will support the caseworker in entering paternity data, scheduling paternity interviews, facilitating discussions with alleged fathers, accepting and recording voluntary acknowledgements of paternity and stipulations to paternity, and conducting the court actions leading to the establishment of paternity.
- 3.0.2 The system will automatically monitor the response time to outgoing documents and monitor the amount of time the case has spent in the paternity function. The system will provide ticklers to the caseworker.
- 3.0.3 The system will provide for the scheduling of genetic tests.
- 3.0.4 The system will provide for the entering of genetic test results, the notification of participants of the test results and the recording of genetic test results.



3.1 Paternity Data Entry

3.1.1 For each child on a case, the system will provide for the entry of information about a child’s parents, birth, paternity status, and genetic testing. The system will prompt the caseworker to perform the processing in *3.1.1 Paternity Interview* if a paternity interview with the CP has not been conducted.

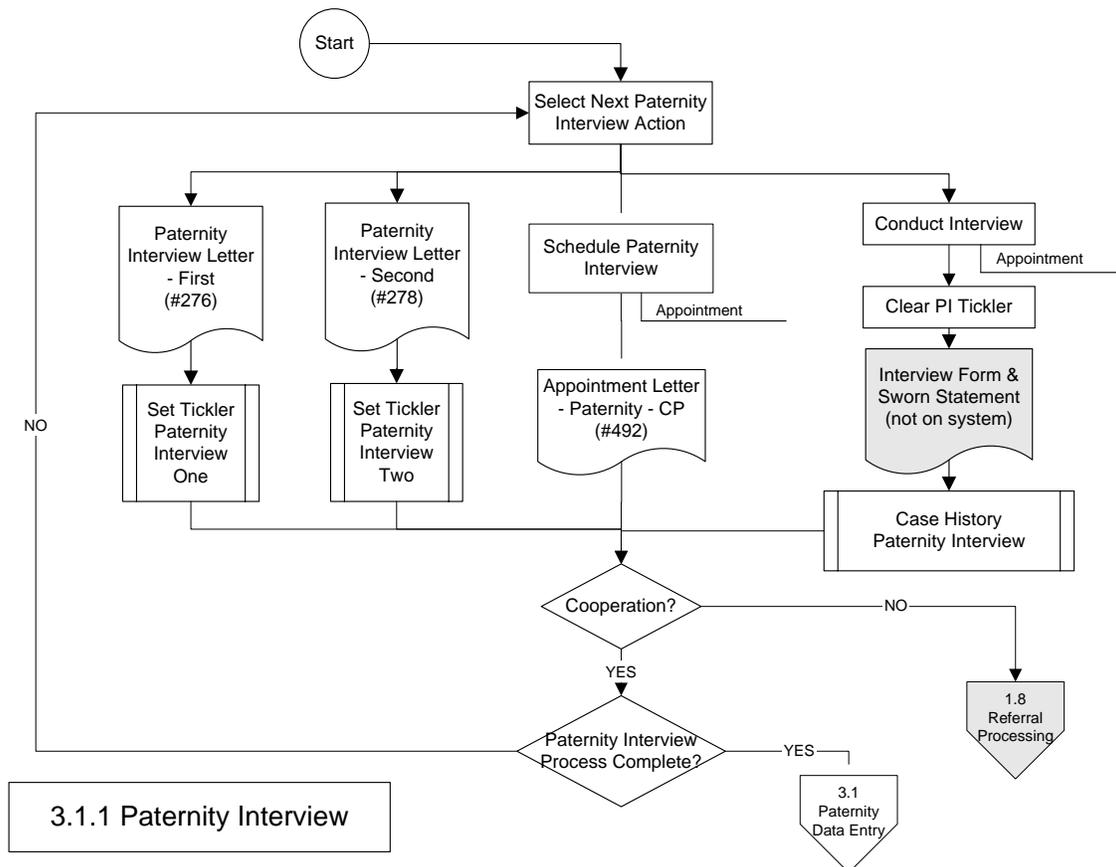
3.1.2 The system will record a **Paternity Information Event** if paternity data is entered.



Data Groups Referenced:		
Child Birth Data	Child Fathers Name	CP Current Spouse Name
Genetic Test Data	Marital Status Data	NCP Current Spouse
Paternity Data	Sexual Relationship Data	Stipulation Data

3.1.1 Paternity Interview

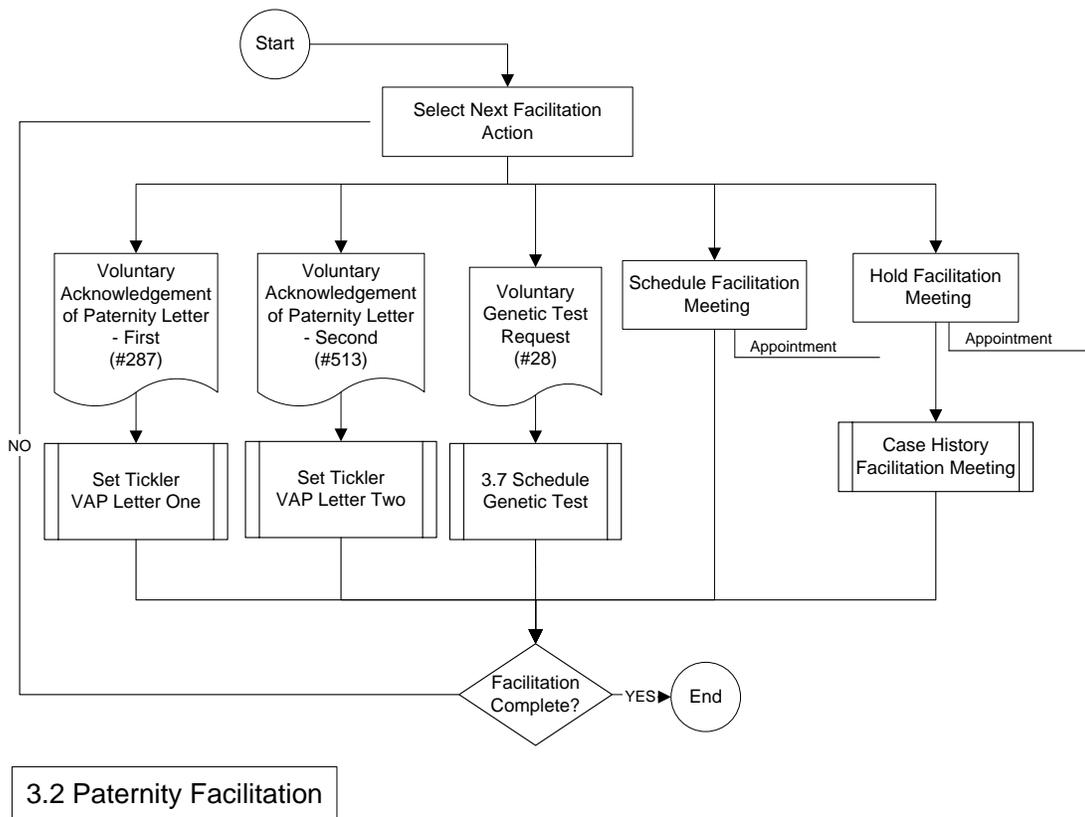
- 3.1.1.1 The system will support the caseworker in selecting the next appropriate paternity interview action. Paternity interview actions will continue until complete or until the CP is declared uncooperative.
- 3.1.1.2 The system will provide for the generation of the **Paternity Interview Letter – First** (#276). The system will set a **Paternity Interview One Tickler** when this letter is generated.
- 3.1.1.3 The system will support the generation of the **Paternity Interview Letter – Second** (#278). The system will set a **Paternity Interview Two Tickler** when this letter is generated.
- 3.1.1.4 The system will support the scheduling of a paternity interview and the generation of an **Appointment Letter – Paternity – CP** (#492).
- 3.1.1.5 If a paternity interview has been successfully conducted using the tribal paternity interview form (not on system), the system will support the clearing of any ticklers associated with the interview process and will create a **Paternity Interview Event**.
- 3.1.1.6 If the CP is uncooperative, processing will proceed to *1.8 Referral Processing*. If the paternity interview process is complete processing will proceed to *3.1 Paternity Data Entry*.



Data Groups Referenced:		
CP Appointment	NCP Appointment	

3.2 Paternity Facilitation

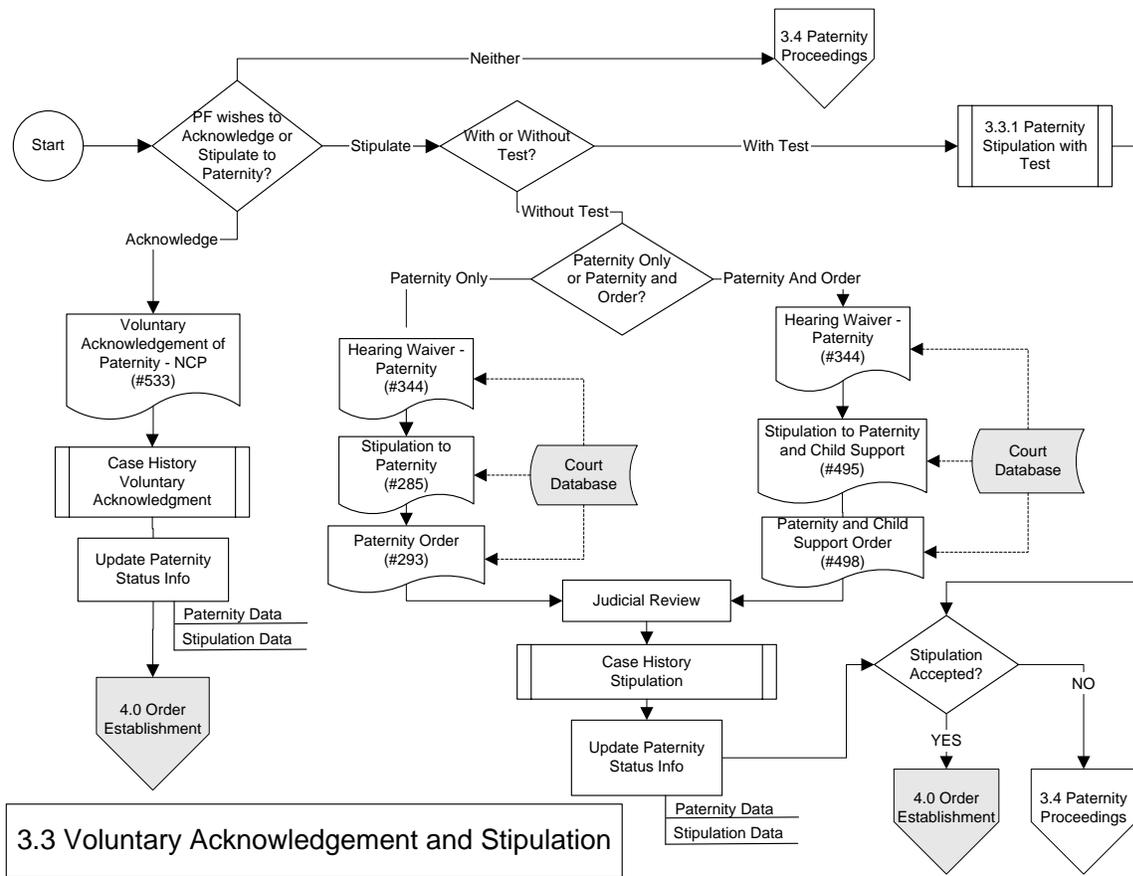
- 3.2.1 The system will support the caseworker in selecting the next appropriate facilitation action. Facilitation actions will continue until the caseworker determines that facilitation is complete.
- 3.2.2 The system will provide for the generation of the **Voluntary Acknowledgement of Paternity Letter – First** (#287). The system will set a VAP Letter One Tickler when this letter is generated.
- 3.2.3 The system will support the generation of the **Voluntary Acknowledgement of Paternity Letter – Second** (#513). The system will set a VAP Letter Two Tickler when this letter is generated.
- 3.2.4 The system will support the scheduling of a voluntary genetic test and the generation of a **Voluntary Genetic Test Request** (#28). The system will then support the processing in *3.7 Schedule Genetic Test*.
- 3.2.5 The system will support the scheduling of a facilitation meeting.
- 3.2.6 If a facilitation meeting has been conducted, the system will provide for the creation of a **Facilitation Meeting Event**.



Data Groups Referenced:		
CP Appointment	NCP Appointment	

3.3 Voluntary Acknowledgment and Stipulation

- 3.3.1 The system will support the voluntary acknowledgment of paternity and/or the stipulation to either paternity or paternity and child support. If a genetic test is requested as a condition of a stipulation, then the system will prompt the caseworker to proceed to *3.3.1 Paternity Stipulation with Test*.
- 3.3.2 The system will generate the **Voluntary Acknowledgement of Paternity – NCP** (#533), for NCPs that wish to acknowledge paternity. If paternity is acknowledged, the system will support the creation of **Voluntary Acknowledgement Event**. The system will then support the processing in *3.1 Paternity Data Entry*.
- 3.3.3 If the NCP wishes to stipulate to paternity, but has not requested a hearing or a genetic test, the system will support the generation of **Hearing Waiver – Paternity** (#344), a **Stipulation to Paternity** (#285), and a **Paternity Order** (#293) for judicial review.
- 3.3.4 If the NCP wishes to stipulate to paternity and child support, but has not requested a hearing or a genetic test, the system will support the generation of **Hearing Waiver – Paternity** (#344), a **Stipulation to Paternity and Child Support** (#495), and a **Paternity and Child Support Order** (#498) for judicial review.
- 3.3.5 Upon completion of judicial review, the system will support the creation of a **Stipulation Event** and support the processing in *3.1 Paternity Data Entry*.
- 3.3.6 If the stipulation is approved by judicial review, the system will prompt the caseworker to proceed to *4.0 Order Establishment*. Otherwise, the caseworker will be prompted to proceed to *3.4 Paternity Proceedings*.

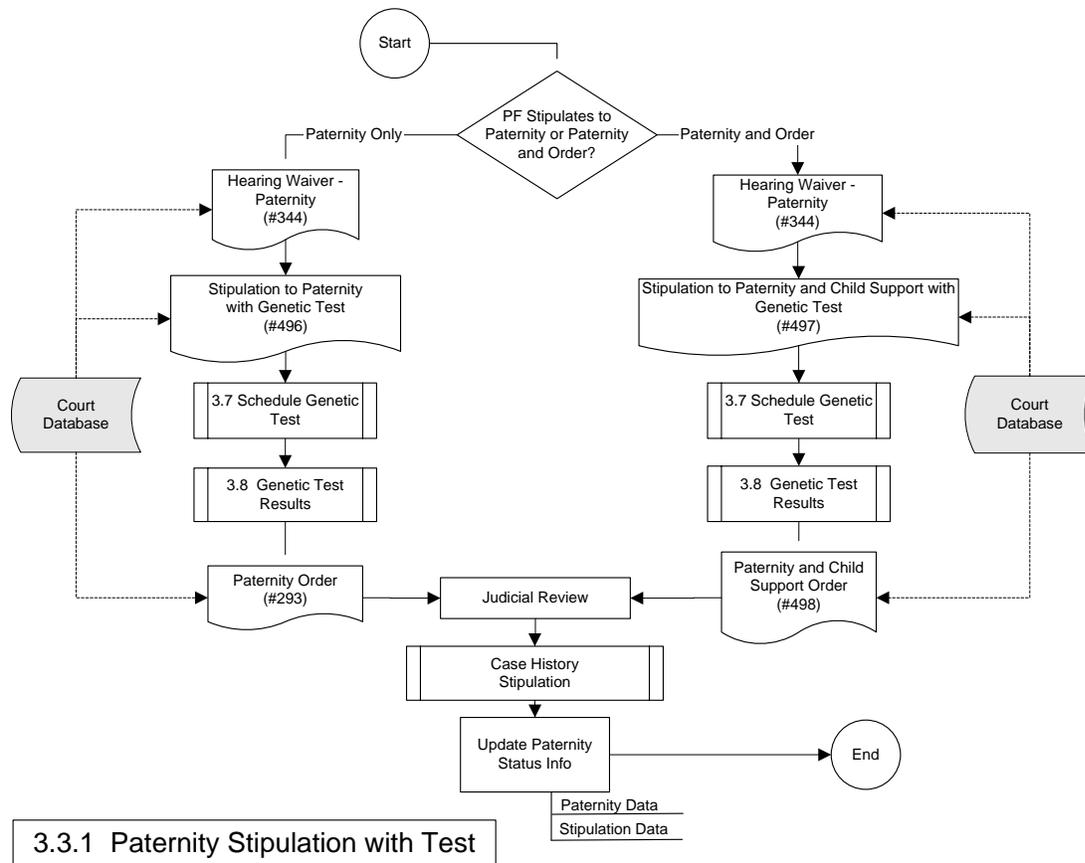


3.3 Voluntary Acknowledgement and Stipulation

Data Groups Referenced:		
Paternity Data	Stipulation Data	

3.3.1 Paternity Stipulation with Test

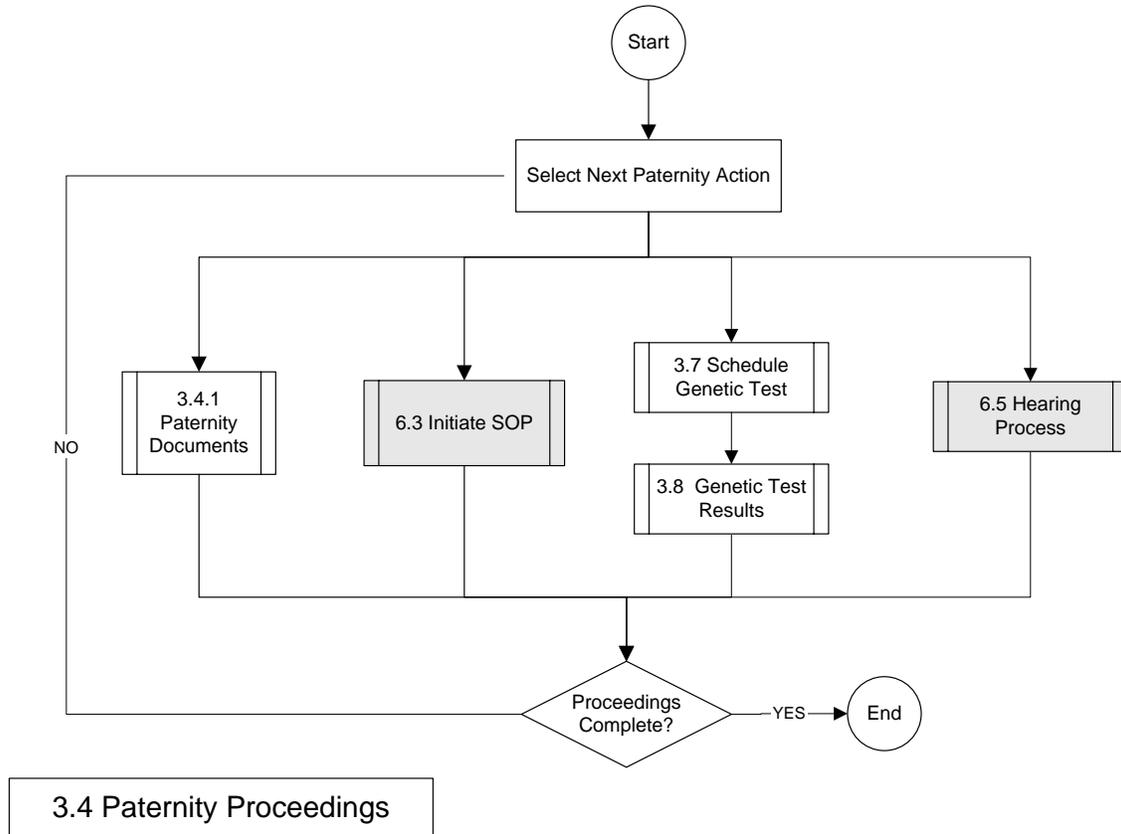
- 3.3.1.1 If the NCP wishes to stipulate to paternity with a genetic test, the system will provide for the generation of **Hearing Waiver – Paternity** (#344) and a **Stipulation to Paternity with Genetic Test** (#496).
- 3.3.1.2 If the NCP wishes to stipulate to paternity and child support with a genetic test, the system will provide for the generation of **Hearing Waiver – Paternity** (#344) and a **Stipulation to Paternity and Child Support with Genetic Test** (#497).
- 3.3.1.3 If a stipulation with test document has been generated, the system will prompt the caseworker to schedule a genetic test (3.7 *Schedule Genetic Test*) and to process the genetic test results (3.8 *Genetic Test Results*).
- 3.3.1.4 The system will support the generation of a **Paternity Order** (#293) or a **Paternity and Child Support Order** (#498) as appropriate after the genetic test results have been received.
- 3.3.1.5 Upon completion of judicial review, the system will support the creation of a **Stipulation Event** and the updating of paternity data.



Data Groups Referenced:		
Paternity Data	Stipulation Data	

3.4 Paternity Proceedings

3.4.1 The system will support the selection of the next appropriate court action to establish paternity. The system will enable the caseworker to generate paternity documents (3.4.1 *Paternity Documents*), to initiate service of process on the documents (6.3 *Initiate SOP*), to schedule genetic tests and process the results (3.7 *Schedule Genetic Test* and 3.8 *Genetic Test Results*), or to start a hearing process (6.5 *Hearing Process*).



3.4.1 Paternity Documents

3.4.1.1 The system will provide for the selection and generation of the following documents:

3.4.1.1-a Letter to Establish Paternity and Child Support (#112)

3.4.1.1-b Petition to Establish Paternity and Child Support (#151)

3.4.1.1-c Paternity and Child Support Order (#498)

3.4.1.1-d Petition to Establish Paternity (#289)

3.4.1.1-e Paternity Order (#293)

3.4.1.1-f Summons – Paternity (#153)

3.4.1.1-g Motion for Genetic Testing (#290)

3.4.1.1-h Order for Genetic Testing (#543)

3.4.1.1-i Motion to Dismiss (#491)

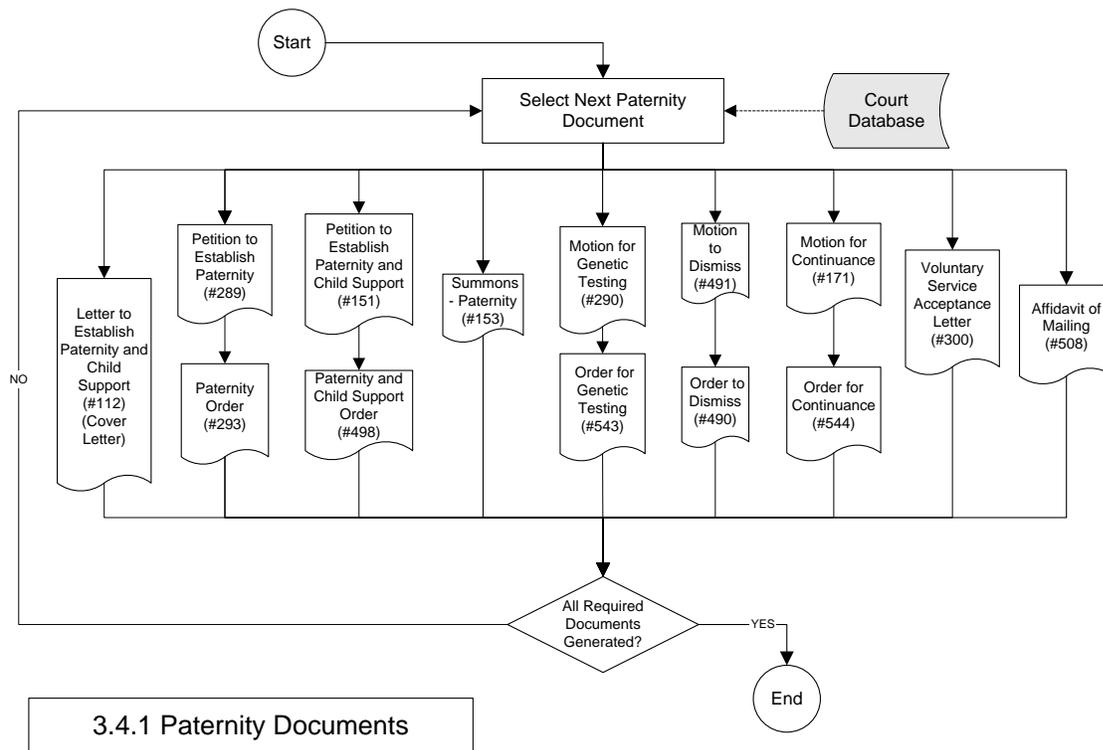
3.4.1.1-j Order to Dismiss (#490)

3.4.1.1-k Motion for Continuance (#171)

3.4.1.1-l Order for Continuance (#544)

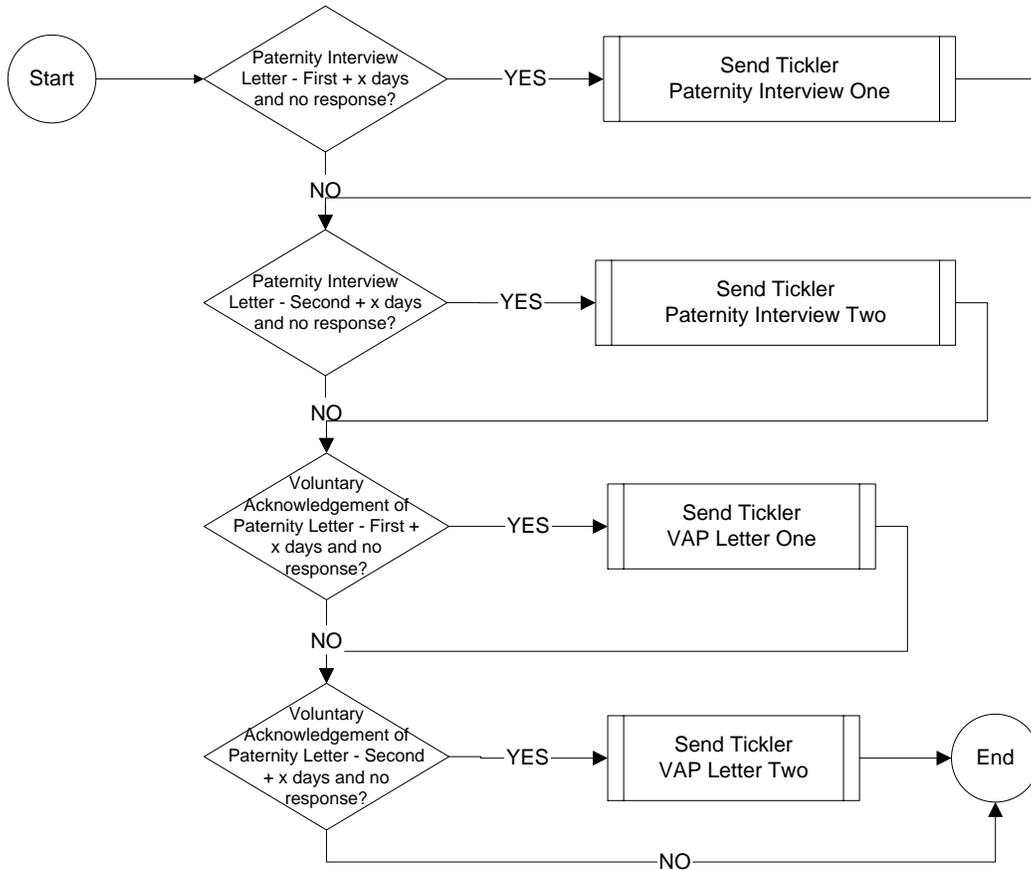
3.4.1.1-m Voluntary Service Acceptance Letter (#300)

3.4.1.1-n Affidavit of Mailing (#508)



3.5 Paternity Letter Monitor

- 3.5.1 If no response has been received to a **Paternity Interview Letter - First** (#276) within the number of calendar days specified by the caseworker, the system will automatically displays a **Paternity Interview One Tickler** on the caseworker's daily worklist for appropriate follow-up action.
- 3.5.2 If no response has been received to a **Paternity Interview Letter - Second** (#278) within the number of calendar days specified by the caseworker, the system will automatically displays a **Paternity Interview Two Tickler** on the caseworker's daily worklist for appropriate follow-up action.
- 3.5.3 If no response has been received to a **Voluntary Acknowledgment of Paternity Letter - First** (#287) with the number of calendar days specified by the caseworker, the system will automatically displays a **VAP Letter One Tickler** on the caseworker's daily worklist for appropriate follow-up action.
- 3.5.4 If no response has been received to a **Voluntary Acknowledgment of Paternity Letter - Second** (#513) with the number of calendar days specified by the caseworker, the system will automatically displays a **VAP Letter Two Tickler** on the caseworker's daily worklist for appropriate follow-up action.



3.5 Paternity Letter Monitor

3.6 Paternity Status Monitor

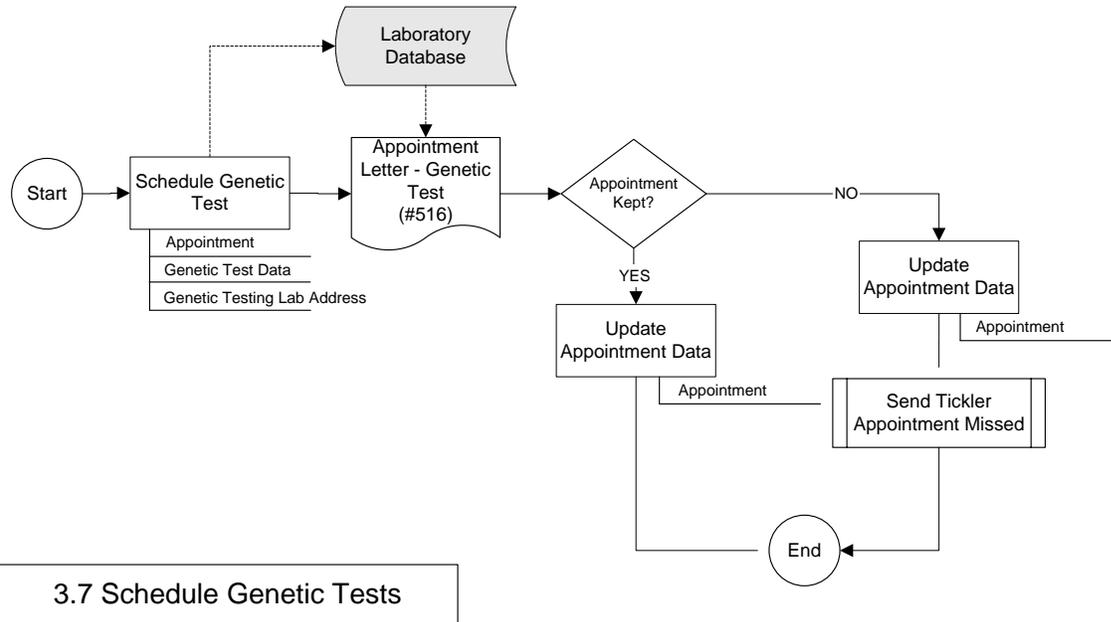
3.6.1 Deleted

3.6.2 Deleted

3.6.3 Deleted

3.7 Schedule Genetic Test

- 3.7.1 The system will support the scheduling of a genetic test and the generation of an **Appointment Letter – Genetic Test** (#516)
- 3.7.2 If the appointment is not kept, the system will allow the update of appointment data and set an **Appointment Missed Tickler**.
- 3.7.3 If the appointment is kept, the system will allow the update of appointment data.



Data Groups Referenced:		
CP Appointment	Genetic Test Lab Address	Genetic Test Data
NCP Appointment		

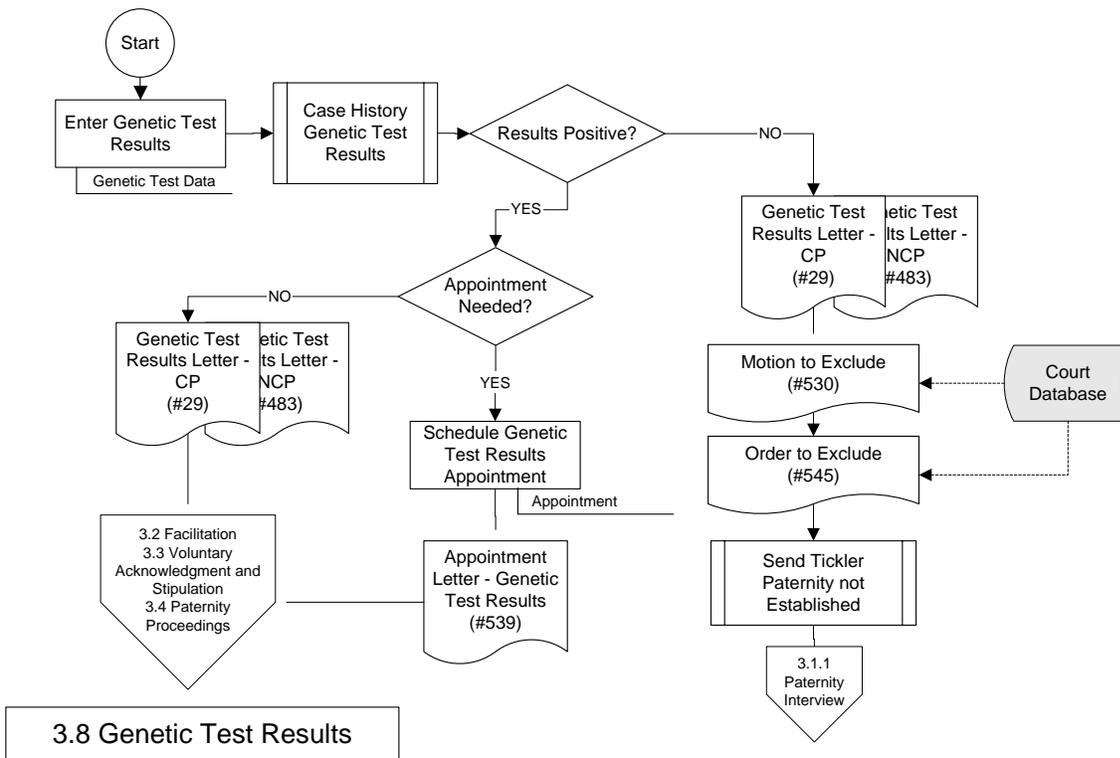
3.8 Genetic Test Results

3.8.1 The system will support the entering of genetic test results and the creation of a **Genetic Test Results Event**.

3.8.2 If the test is positive and tribal policy does not require an appointment to discuss genetic test results, the system will support the generation of a **Genetic Test Results Letter – CP** (#29) and a **Genetic Test Results Letter – NCP** (#483).

3.8.3 If the test is positive and tribal policy does require an appointment to discuss genetic test results, the system will support the scheduling of an appointment and the generation of an **Appointment Letter - Genetic Test Results** (#539).

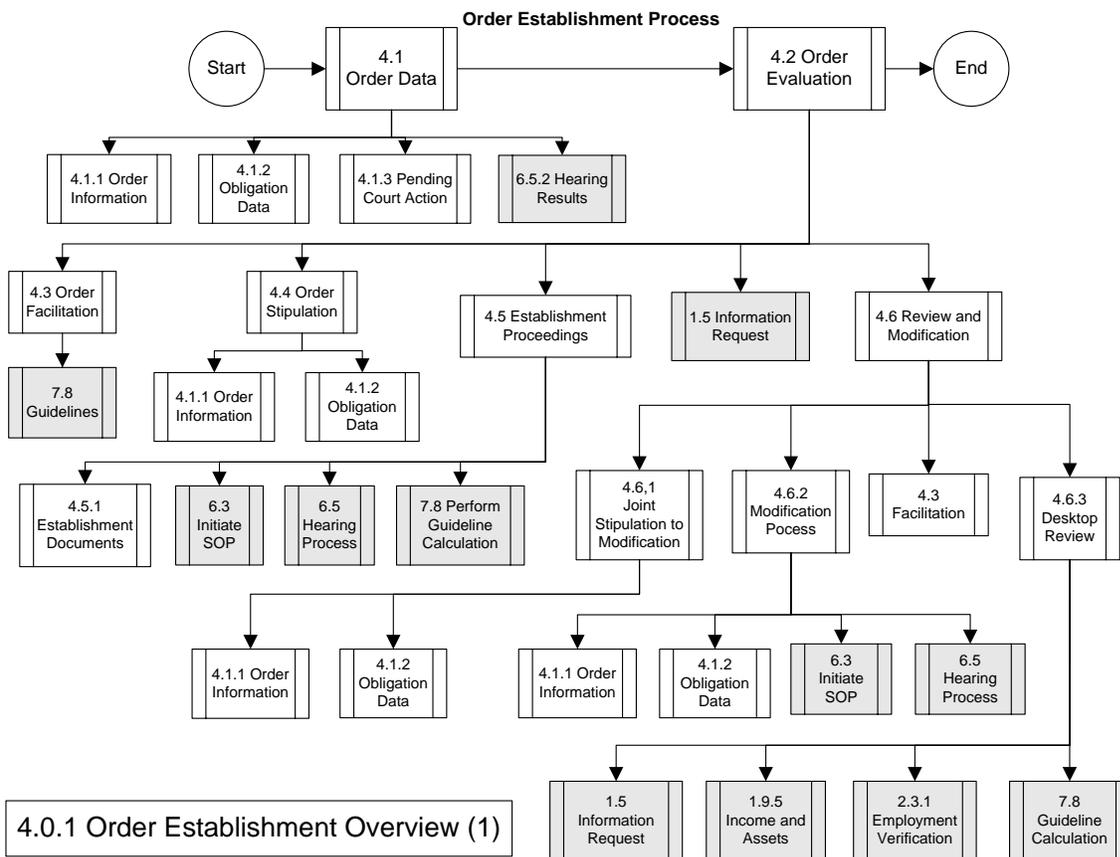
3.8.4 If the test is negative, the system will support the generation of a **Genetic Test Results Letter – CP**, a (#29) **Genetic Test Results Letter – NCP** (#483), a **Motion to Exclude** (#530), and an **Order to Exclude** (#545). The system will support the setting of a **Paternity not Established Tickler** and will prompt the caseworker to proceed to **3.1.1 Paternity Interview**.



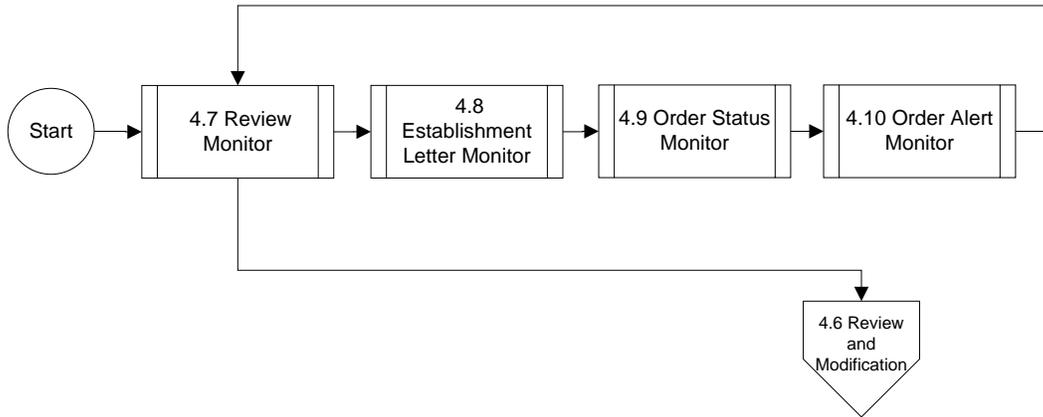
Data Groups Referenced:		
CP Appointment	Genetic Test Data	NCP Appointment

4.0 Order Establishment Process

- 4.0.1 The system will support the caseworker in entering order data, evaluating the status of a child support order, scheduling interviews, facilitating discussions with NCPs, accepting and recording voluntary stipulations to child support, and conducting the court actions leading to the establishment of a child support order.
- 4.0.2 The system will support the caseworker in conducting review and modification of child support orders.
- 4.0.3 The system will alert the caseworker when a case is eligible for review.
- 4.0.4 The system will alert the caseworker when responses to order establishment letters are due.
- 4.0.5 The system will change Case Function as appropriate in response to changes in case data.
- 4.0.6 The system will track the amount of time a case has been in the order establishment function.



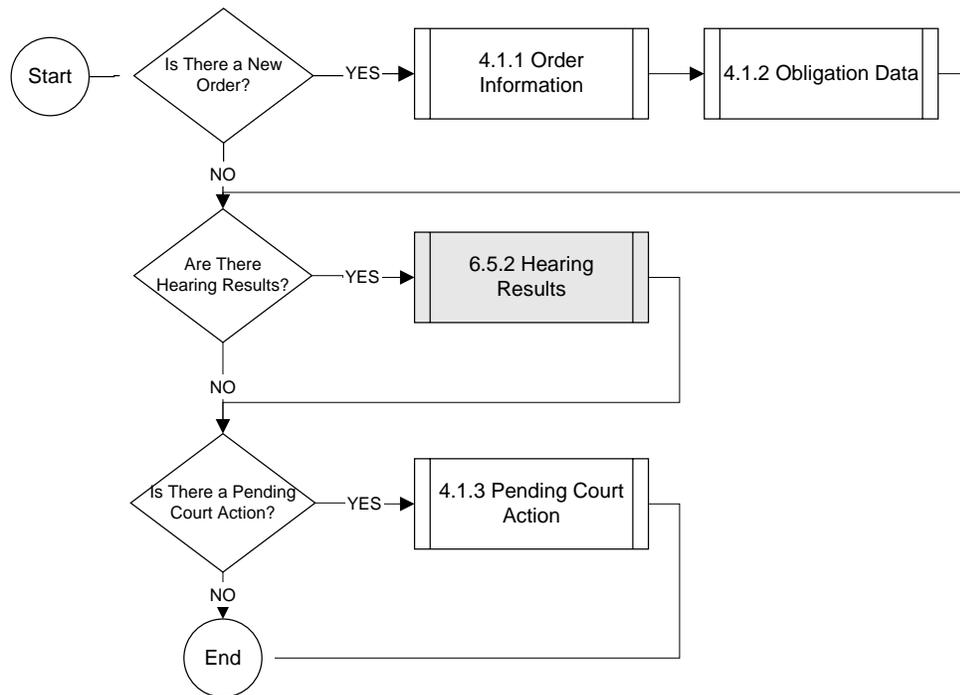
Order Establishment Monitor Process



4.0.2 Order Establishment Overview (2)

4.1 Order Data

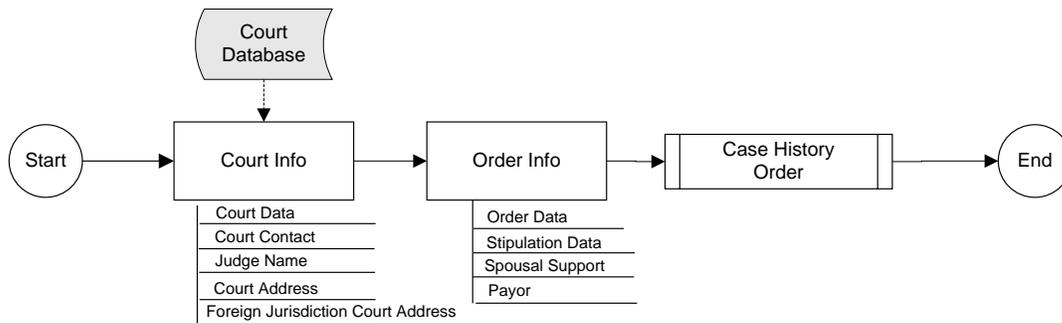
- 4.1.1** The system will allow the caseworker to enter order information (*4.1.1 Order Information*), obligation data (*4.1.2 Obligation Data*), hearing results (*6.5.2 Hearing Results*), and pending court actions (*4.1.3 Pending Court Actions*).
- 4.1.2** The system must maintain a history of all previously established orders.
- 4.1.3** The system must provide a method of easily copying data from existing orders to new orders to support order modification.



4.1 Order Data

4.1.1 Order Information

- 4.1.1.1** The system will allow the caseworker to enter data relating to child support orders, including court information, specific details of the order, guideline calculations and deviations, and non-payment obligations.
- 4.1.1.2** The system will support multiple orders per case. Only one of these orders at a time may be active.
- 4.1.1.3** The system will create an **Order Event** when order data is entered.

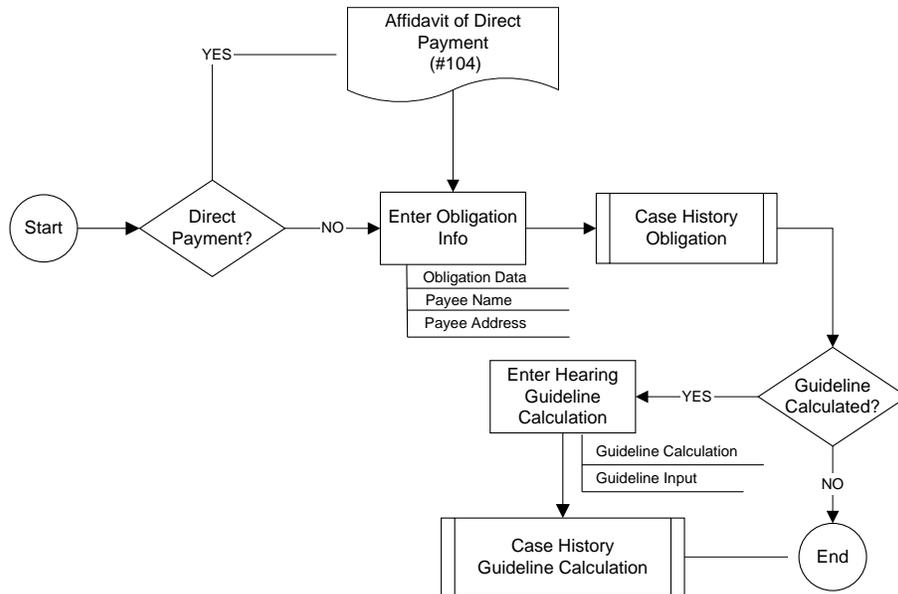


4.1.1 Order Information

Data Groups Referenced:		
Court Address	Court Contact	Court Data
Foreign Jurisdiction Court Address	Judge Name	Order Data
Payor	Stipulation Data	Spousal Support

4.1.2 Obligation Data

- 4.1.2.1** The system will allow the caseworker to enter data related to child support payment obligations, including current support payments, arrears payments, spousal support and other ongoing costs, judgments and other fixed costs, and payment type.
- 4.1.2.2** The system must provide the capability to establish and maintain obligations as specified in court order(s), including the following constructs:
- 4.1.2.2-a** Multiple debt types per order
 - 4.1.2.2-b** Multiple participant obligations per debt type per order
 - 4.1.2.2-c** Different obligees for each obligation
 - 4.1.2.2-d** Change in the obligee or the amount of an obligation over time
 - 4.1.2.2-e** Different payees for each obligee
 - 4.1.2.2-f** Change in the payee for an obligee over time
 - 4.1.2.2-g** A Child Age Bypass Indicator for a child on the case if the order directs that the obligation continues past the Age of Majority set by tribal policy.
 - 4.1.2.2-h** Separate interest accounts for each type of arrears obligation to allow tracking of previously accumulated interest.
 - 4.1.2.2-i** Proration of obligations based on the day of the month the obligation is effective based on the following formula:
$$\text{Prorated Debt} = ((\text{Monthly Debt} \times 12) / 365) \times \text{Number of Days Remaining in Month}$$
- 4.1.2.3** The system will support the automatic generation of the *Affidavit of Direct Payment* (#104).
- 4.1.2.4** The system will create an **Obligation Event** when obligation data is entered.
- 4.1.2.5** The system will support the entry of guideline information and will create a **Guideline Calculation Event** when guideline data is entered.



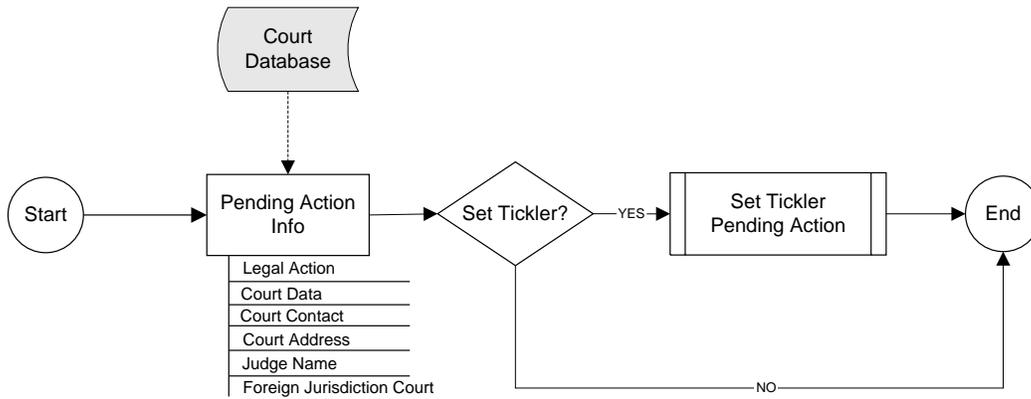
4.1.2 Obligation Data

Data Groups Referenced:		
Guideline Calculation	Guideline Input	Obligation Data
Payee Address	Payee Name	

4.1.3 Pending Court Actions

4.1.3.1 The system will allow the caseworker to enter data related to pending court actions.

4.1.3.2 The system will prompt the caseworker to set an optional Pending Action Tickler upon entry of information about a pending court action.

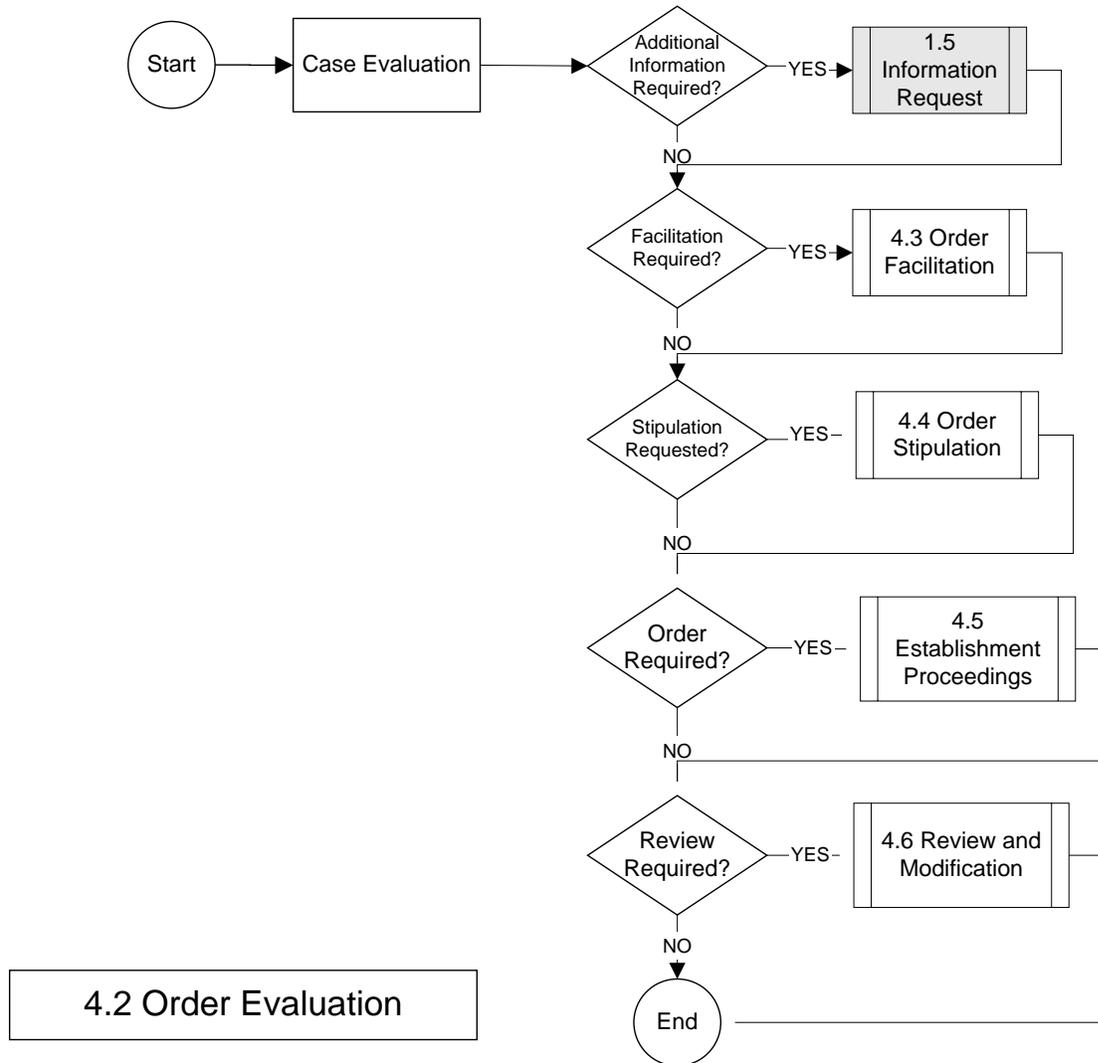


4.1.3 Pending Court Action

Data Groups Referenced:		
Court Address	Court Contact	Court Data
Foreign Jurisdiction Court	Judge Name	Legal Action

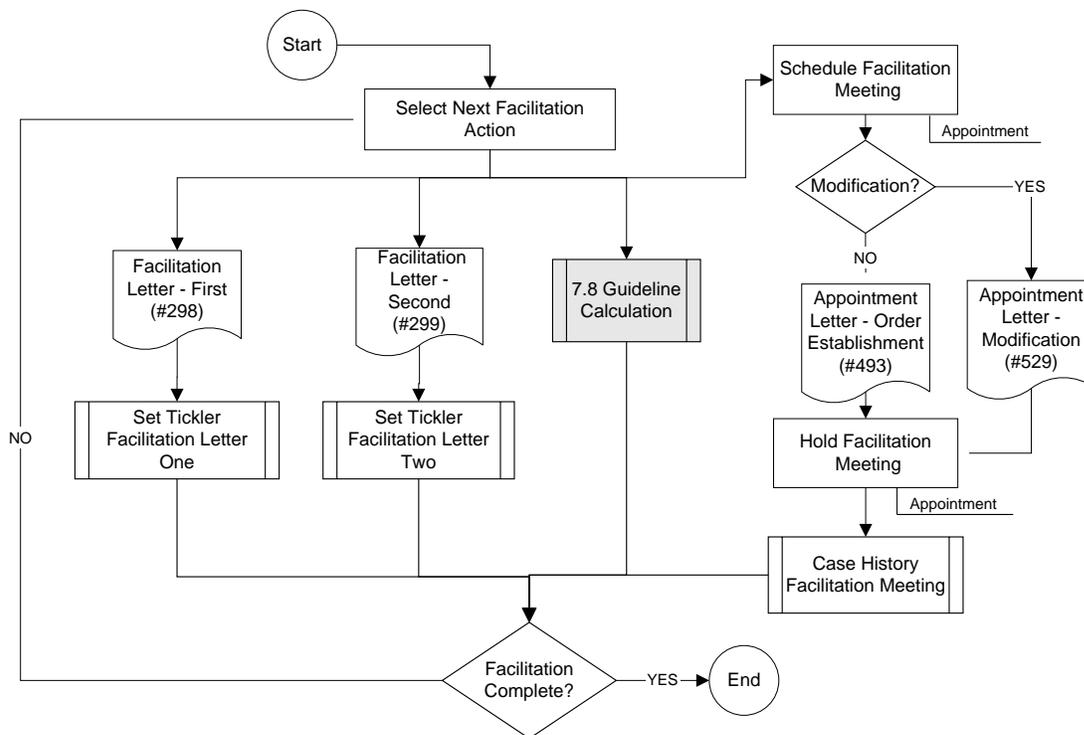
4.2 Order Evaluation

4.2.1 The system will support the caseworker in selecting the next processing step in establishing or reviewing an order. The caseworker may be directed to *1.5 Information Request*, *4.3 Order Facilitation*, *4.4 Order Stipulation*, *4.5 Establishment Proceedings*, or *4.6 Review and Modification*.



4.3 Order Facilitation

- 4.3.1 The system will support the caseworker in selecting the next appropriate facilitation action. Facilitation actions will continue until the caseworker determines that facilitation is complete.
- 4.3.2 The system will provide for the generation of the **Facilitation Letter – First** (#298). The system will set a **Facilitation Letter One Tickler** for each letter generated.
- 4.3.3 The system will provide for the generation of the **Facilitation Letter –Second** (#299). The system will set a **Facilitation Letter Two Tickler** for each letter generated.
- 4.3.4 The system will allow the caseworker to perform the processing in 7.8 *Guideline Calculation*.
- 4.3.5 The system will allow the caseworker to schedule a facilitation meeting. If the meeting is for order establishment, the system will generate an **Appointment Letter – Order Establishment** (#493). If the meeting is for order review, the system will generate an **Appointment Letter – Modification** (#529). The system will prompt the caseworker to generate a **Facilitation Meeting Event** to record the result of the meeting.



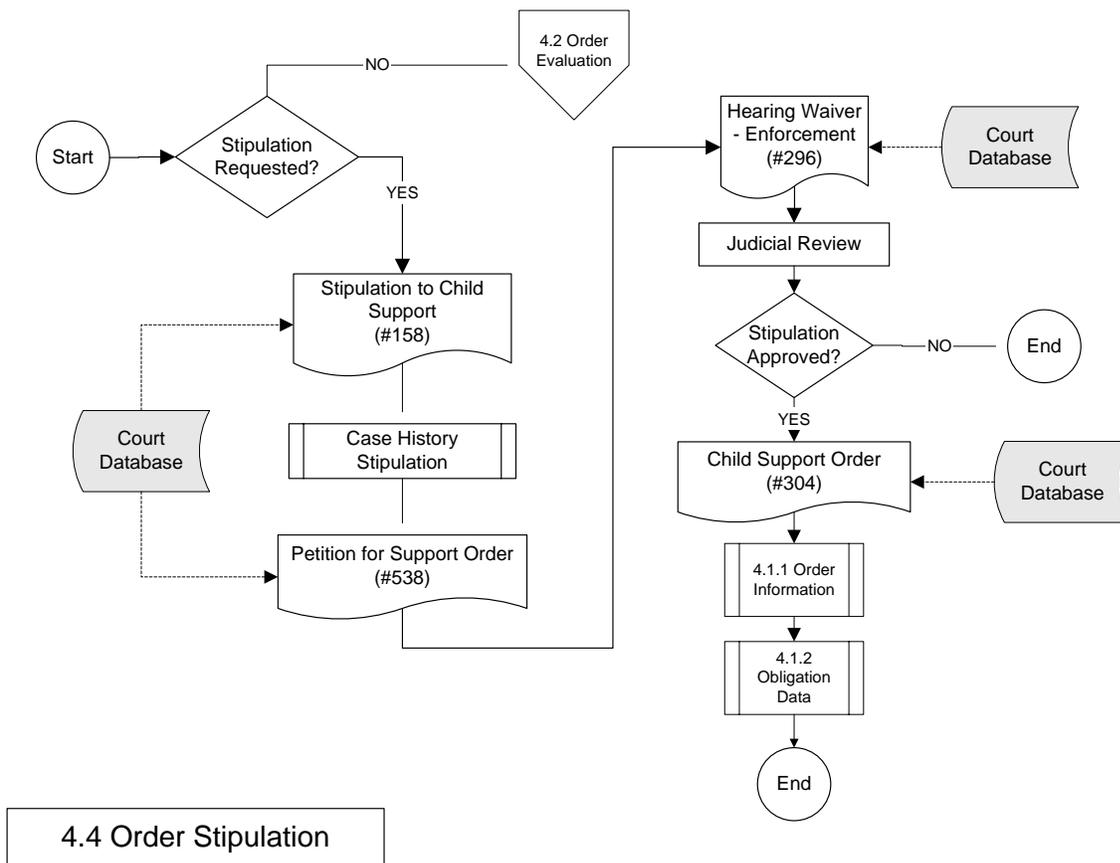
4.3 Order Facilitation

Data Groups Referenced:		
CP Appointment	NCP Appointment	

4.4 Order Stipulation

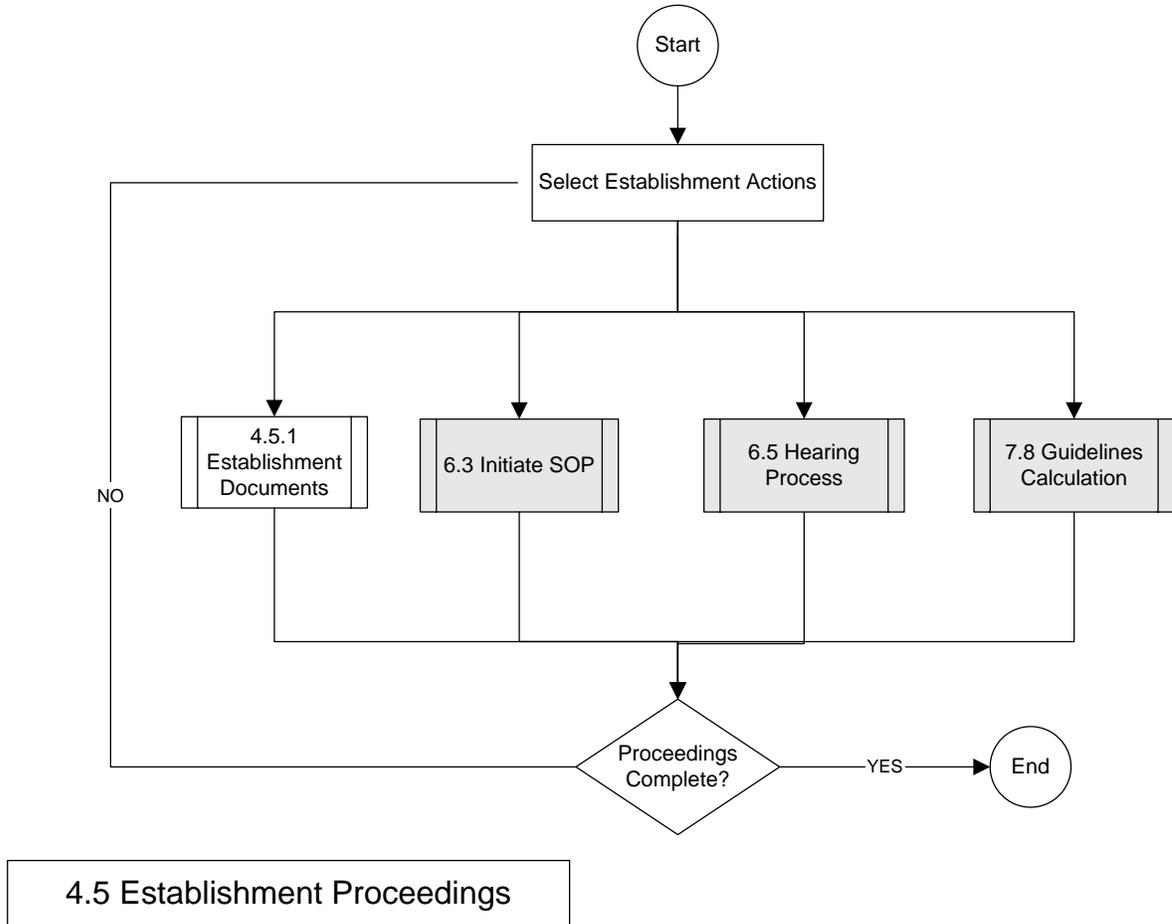
4.4.1 The system will support the stipulation to child support. When an NCP wishes to stipulate, the system will generate a **Stipulation to Child Support** (#158), a **Petition for Support Order** (#538), and a **Hearing Waiver – Enforcement** (#296) and will create a **Stipulation Event**.

4.4.2 If the stipulation is approved by judicial review, the system will generate a **Child Support Order** (#304) and processing will proceed to *4.1 Order Data* to record the new order. If the stipulation is not approved, processing will proceed to *4.5 Establishment Proceedings*.



4.5 Establishment Proceedings

4.5.1 The system will support the caseworker in selecting the next processing step in support of legal proceedings to establish an order. The caseworker may generate documents (4.5.1 *Establishment Documents*), initiate service of process (6.3 *Initiate SOP*), perform a guideline calculation (7.8 *Guidelines Calculation*), or start the hearing process (6.5 *Hearing Process*).



4.5.1 Establishment Documents

4.5.1.1 The system will provide for the selection and generation of the following documents:

4.5.1.1-a *Voluntary Service Acceptance Letter* (#300)

4.5.1.1-b *Hearing Notice –Order Establishment* (#484)

4.5.1.1-c *Petition for Support Order* (#538)

4.5.1.1-d *Petition to Determine Arrears and Judgment* (#179)

4.5.1.1-e *Order to Reduce Arrears to Judgment* (#541)

4.5.1.1-f *Child Support Order* (#304)

4.5.1.1-g *Motion for Continuance* (#171)

4.5.1.1-h *Order for Continuance* (#544)

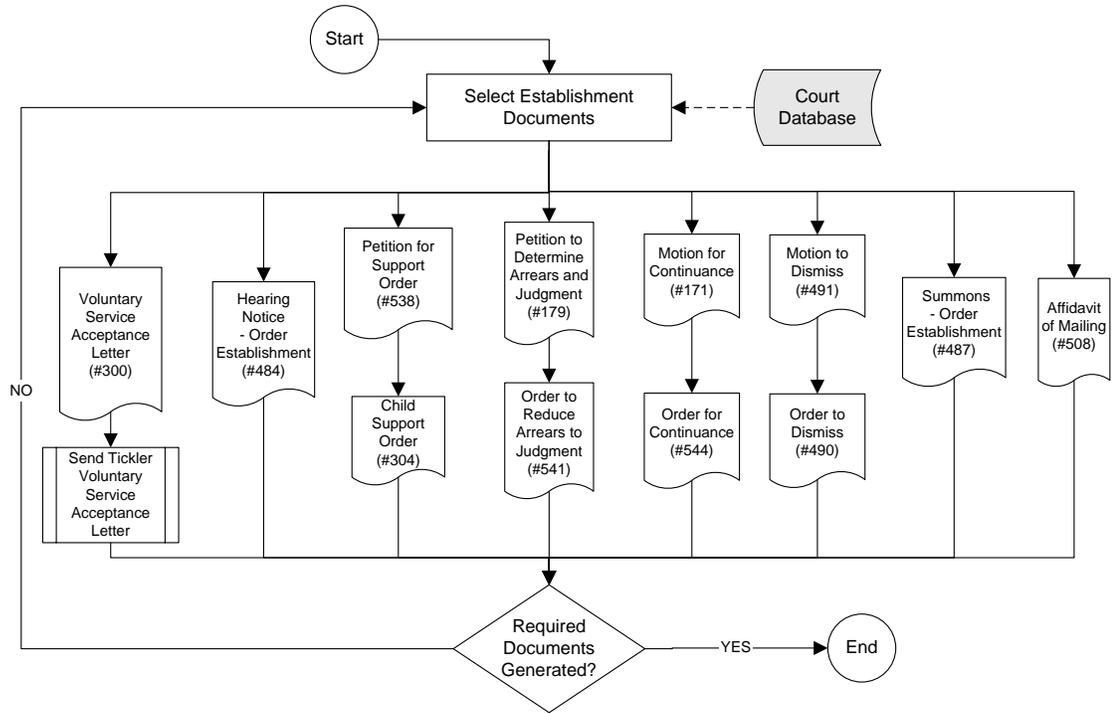
4.5.1.1-i *Motion to Dismiss* (#491)

4.5.1.1-j *Order to Dismiss* (#490)

4.5.1.1-k *Summons – Order Establishment* (#487)

4.5.1.1-l *Affidavit of Mailing* (#508)

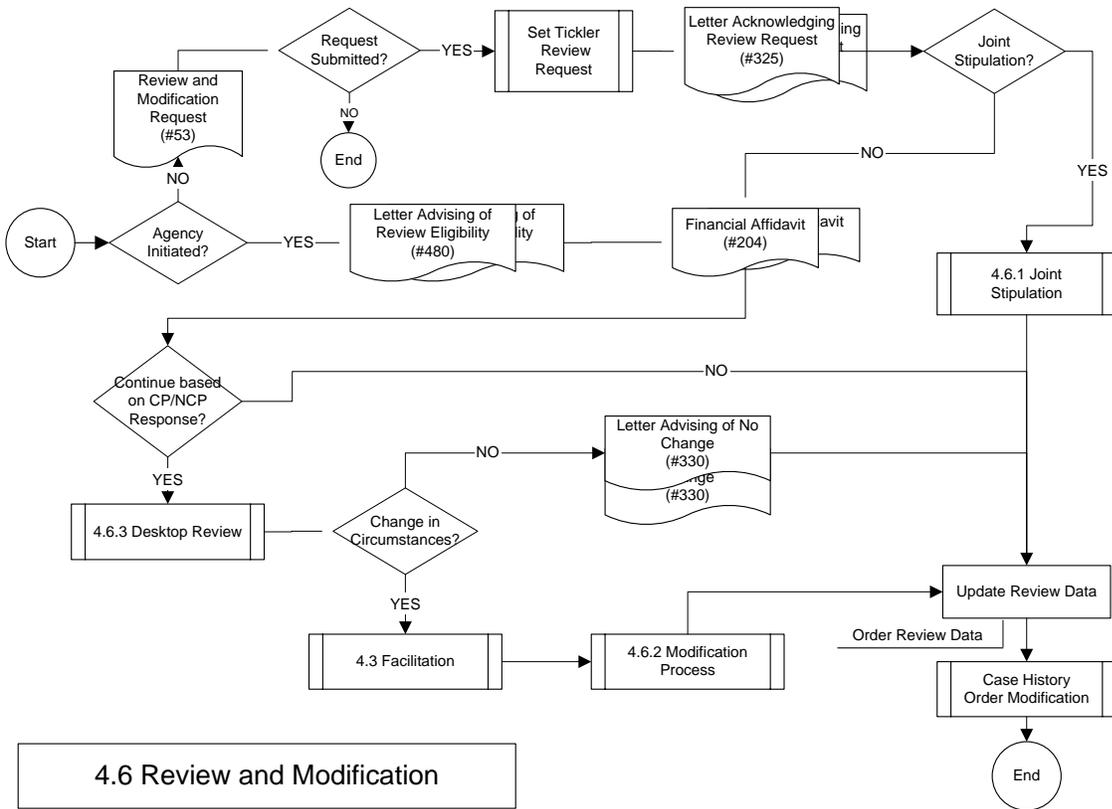
4.5.1.2 The system will set a Voluntary Service Acceptance Letter Tickler if a *Voluntary Service Acceptance Letter* (#300) has been generated.



4.5.1 Establishment Documents

4.6 Review and Modification

- 4.6.1** If a participant or participants wish to initiate a review of an order, the system will support the generation of a **Review and Modification Request** (#53) form. If the completed form is submitted, the system will set a **Review Request Tickler** and generate a **Letter Acknowledging Review Request** (#325). If the CP and NCP wish to jointly stipulate to a modification, the system will support the caseworker in performing the processing in *4.6.1 Joint Stipulation* and in updating review data. If the CP and NCP do not wish to jointly stipulate to a modification, the system will generate a **Financial Affidavit** (#204).
- 4.6.2** If the child support agency has initiated the review, the system will generate both a **Letter Advising of Review Eligibility** (#480) and a **Financial Affidavit** (#204) for both the CP and the NCP.
- 4.6.3** If the agency decides to continue with a review, the system will support the processing in *4.6.3 Desktop Review*.
- 4.6.4** If the desktop review indicates a change in circumstances sufficient to justify an order modification, the system will support the processing in *4.3 Facilitation* and *4.6.2 Modification Process*.
- 4.6.5** If the desktop review does not indicate a change in circumstances sufficient to justify an order modification, the system will generate a **Letter Advising of No Change** (#330) to both parties.
- 4.6.6** The system will generate an **Order Modification Event** whenever review data is updated.



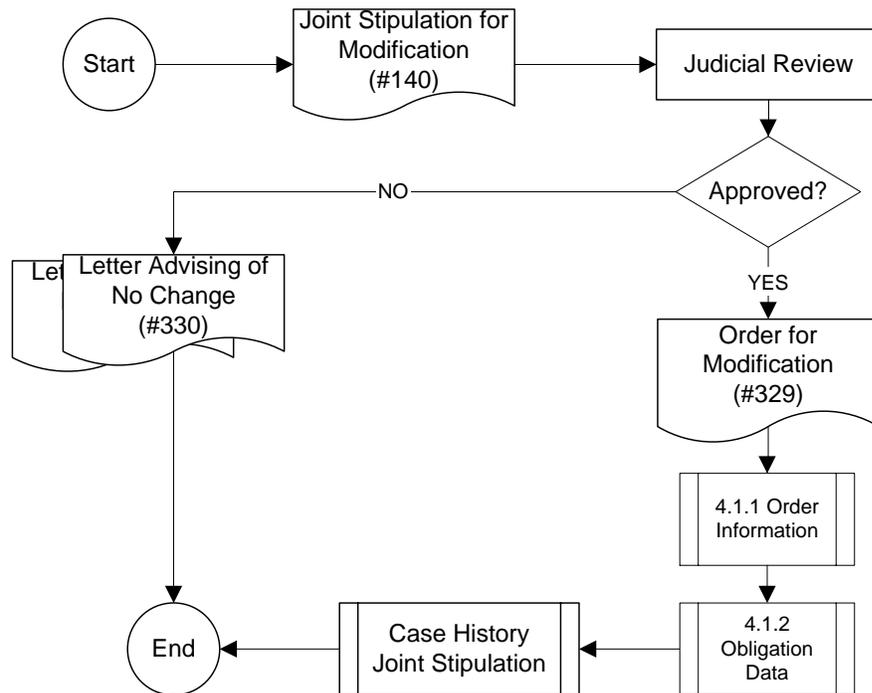
4.6 Review and Modification

Data Groups Referenced:		
Order Review Data		

4.6.1 Joint Stipulation to Modification

4.6.1.1 If participants wish to jointly stipulate to a modification, the system will generate a **Joint Stipulation for Modification** (#140). If a judicial review approves the modification, the system will generate an **Order for Modification** (#329), prompt the caseworker to enter the order data (*4.1.1 Order Information*) and obligation data (*4.1.2 Obligation Data*), and create a **Joint Stipulation Event** to record the modification.

4.6.1.2 If the judicial review did not approve the modification, the system will generate a **Letter Advising of No Change** (#330) to both parties.



4.6.1 Joint Stipulation to Modification

4.6.2 Modification Process

4.6.2.1 The system will generate a proposed ***Child Support Order*** (#304) and a ***Notice/Motion to Modify Order – CP/NCP*** (#173) for both parties.

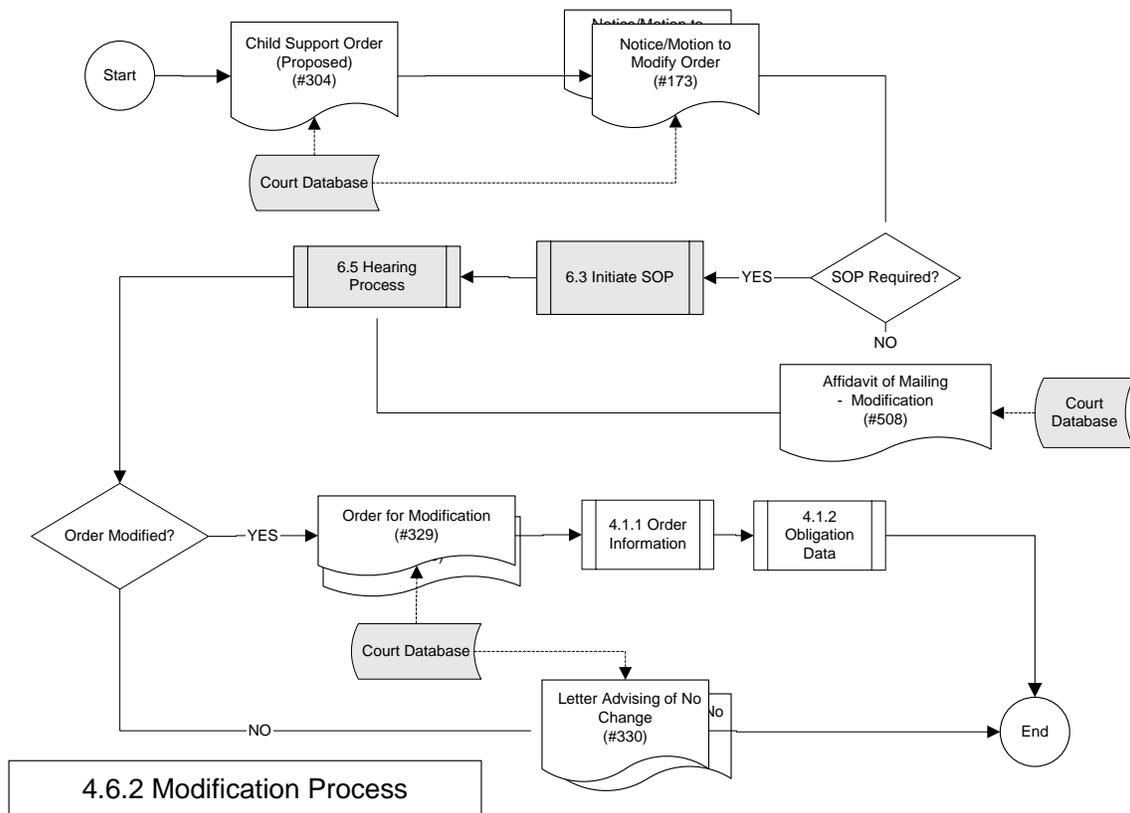
4.6.2.2 The system will support the scheduling of a modification hearing as defined in 6.5 *Hearing Process*.

4.6.2.3 If service of process is required, the system will support the processing in 6.3 *Initiate SOP*.

4.6.2.4 If service of process is not required, the system will support the generation of an ***Affidavit of Mailing*** (#508).

4.6.2.5 If the hearing results in an order modification, the system will generate an ***Order for Modification*** (#329) and prompt the caseworker to enter the order data (4.1.1 *Order Information*) and obligation data (4.1.2 *Obligation Data*).

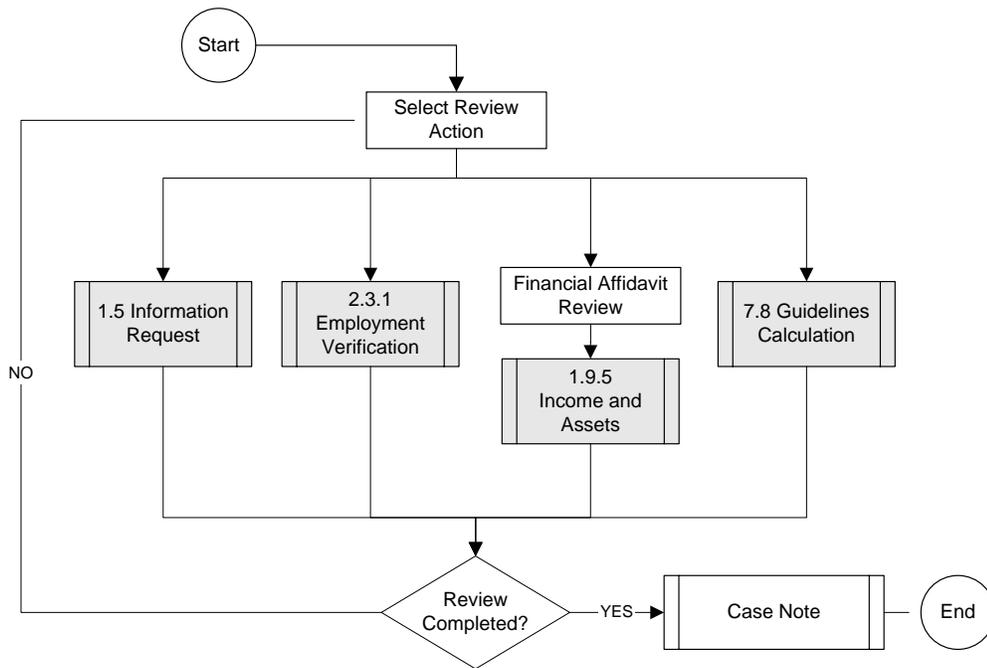
4.6.2.6 If the hearing does not result in an order modification, the system will generate a ***Letter Advising of No Change*** (#330) for both parties.



4.6.3 Desktop Review

4.6.3.1 The system will support the caseworker in performing a desktop review. In performing the review, the caseworker may request information (*1.5 Information Request*), verify employment (*2.3.1 Employment Verification*), review financial affidavits and update income information (*1.9.5 Income and Assets*), and/or perform a guideline calculation (*7.8 Guidelines Calculation*).

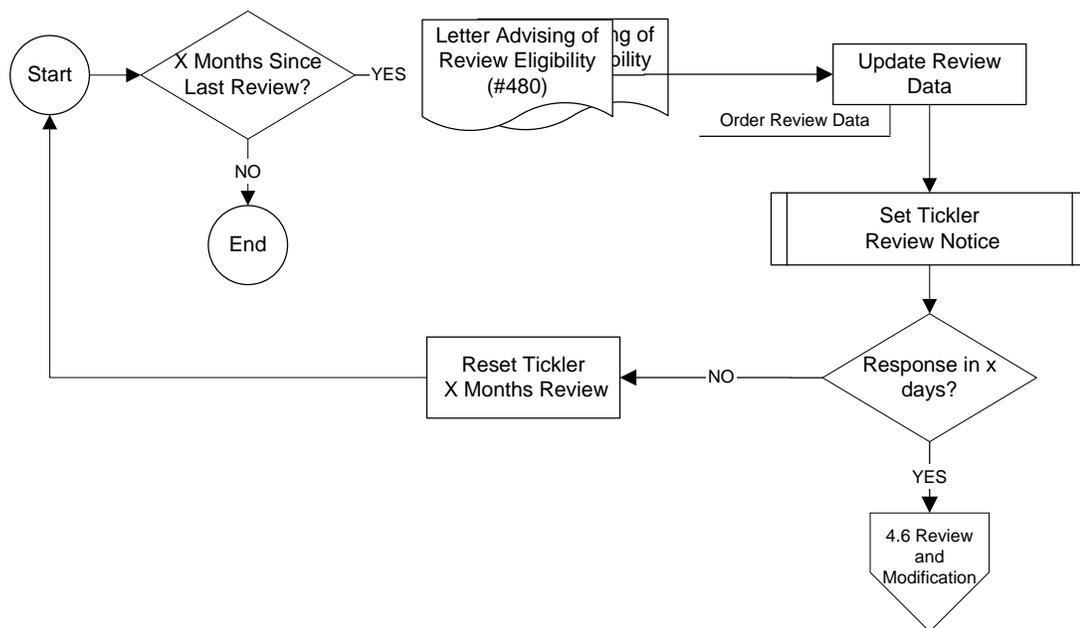
4.6.3.2 If a desktop review is completed, the system will support the creation of a **Case Note**.



4.6.3 Desktop Review

4.7 Review Monitor

- 4.7.1** The system will periodically review each order in the system to determine if it is eligible for review based on tribal policy. If a case is eligible for review, the system will automatically generate a **Letter Advising of Review Eligibility** (#480), update review data, and set a **Review Notice Tickler**.
- 4.7.2** If one of the parties responds within the number of calendar days required by tribal policy, the system will prompt the caseworker to proceed with the review and modification process (*4.6 Review and Modification*).
- 4.7.3** If none of the parties respond within the number of calendar days required by tribal policy, the system will reset the date used for review eligibility to the date the last **Letter Advising of Review Eligibility** was sent.

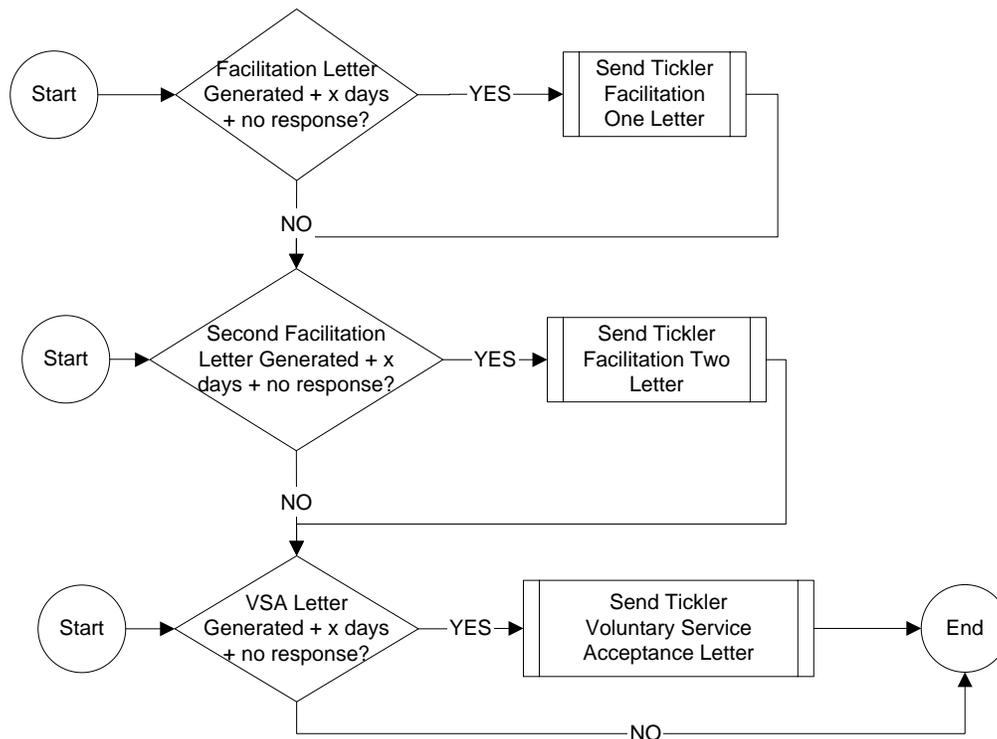


4.7 Review Monitor

Data Groups Referenced:		
Order Review Data		

4.8 Establishment Letter Monitor

- 4.8.1** If no response has been received to a **Facilitation Letter - First** (#298) within the number of calendar days specified by the caseworker, the system will automatically displays a **Facilitation One Tickler** on the caseworker's daily worklist for appropriate follow-up action.
- 4.8.2** If no response has been received to a **Facilitation Letter - Second** (#299) within the number of calendar days specified by the caseworker, the system will automatically displays a **Facilitation Two Tickler** on the caseworker's daily worklist for appropriate **follow-up action**.
- 4.8.3** If no response has been received to a **Voluntary Service Acceptance Letter** (#300) with the number of calendar days specified by the caseworker, the system will automatically displays a **Voluntary Service Acceptance Letter Tickler** on the caseworker's daily worklist for appropriate follow-up action.



4.8 Establishment Letter Monitor

4.9 Order Status Monitor

4.9.1 Deleted

4.9.2 Deleted

4.9.3 Deleted

4.9.4 Deleted

4.10 Order Alert Monitor

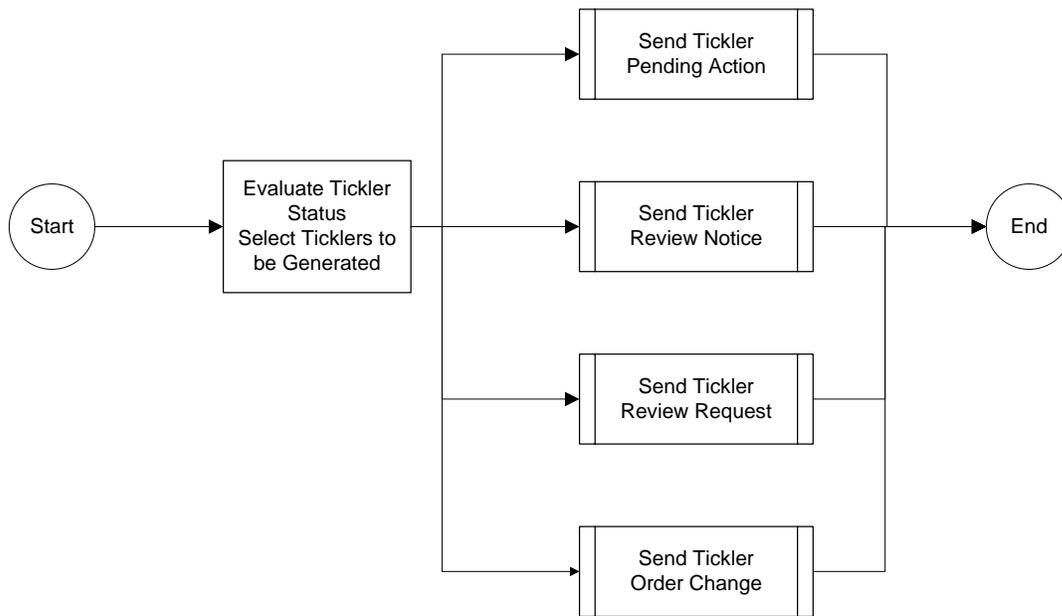
4.10.1 The system will generate the following tickler on the day specified by the caseworker:

4.10.1-a Pending Action

4.10.1-b Review Notice

4.10.1-c Review Request

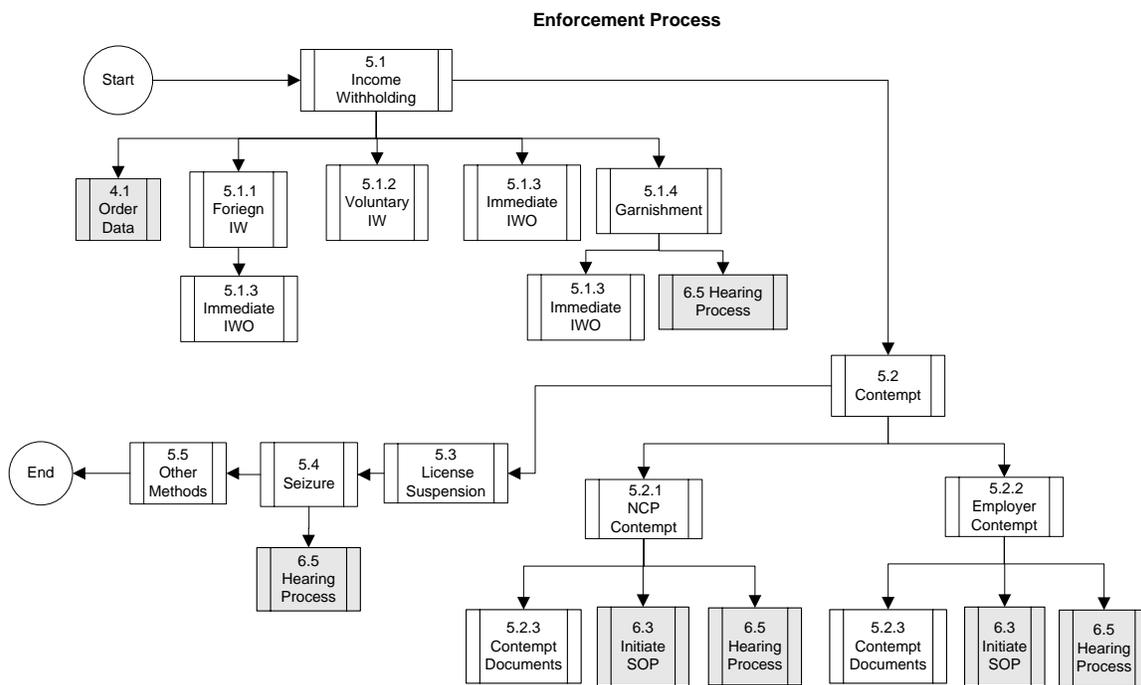
4.10.2 The system will generate an Order Change Tickler when the amount of an obligation is due to change.



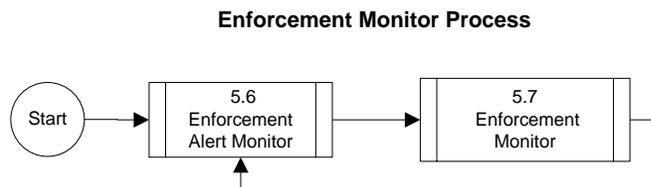
4.10 Order Alert Monitor

5.0 Enforcement Process

- 5.0.1 The system will support the caseworker in pursuing the enforcement remedies provided by tribal policies. These remedies include income withholding, contempt proceedings, license suspension, seizure of assets, referrals to states, and other tribe-specific remedies.
- 5.0.2 The system will perform an enforcement assessment, identifying for each case the enforcement actions used by the tribe that meet tribal arrears thresholds and other criteria as given in *Configuration Data*.
- 5.0.3 The system will support the entry and recording of data related to enforcement actions.
- 5.0.4 The system will generate ticklers to alert the caseworker of enforcement actions.
- 5.0.5 The system will change Case Function as appropriate in response to changes in case data.



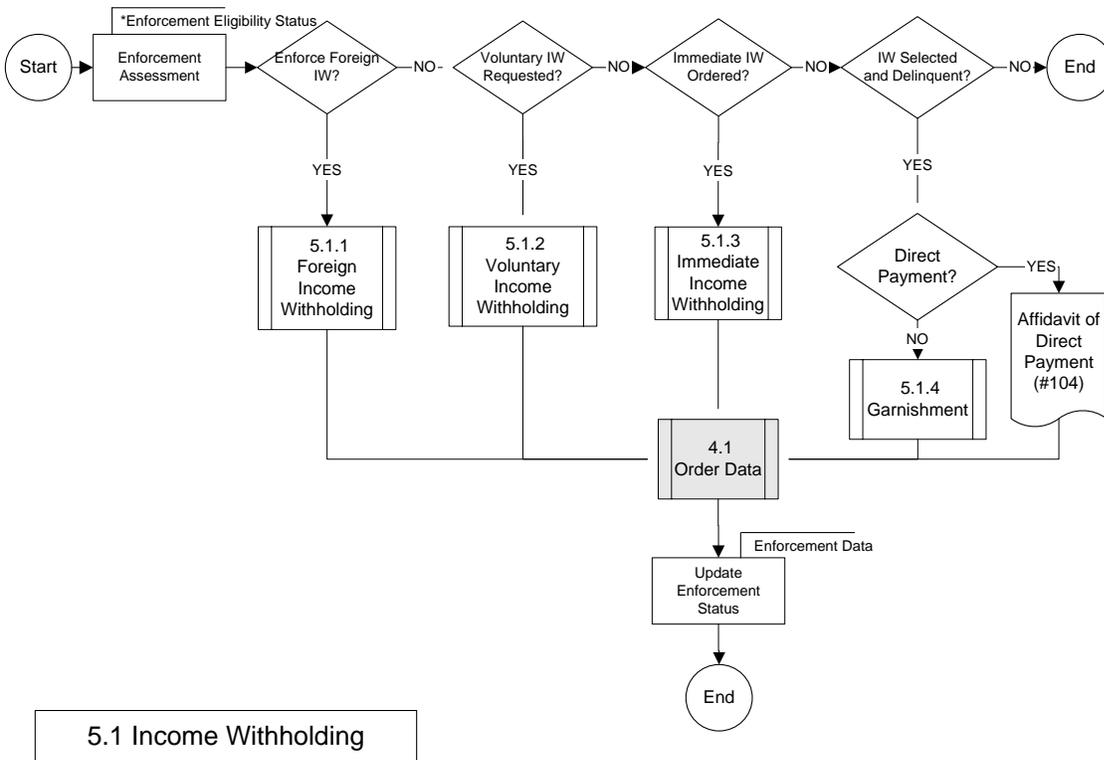
5.0.1 Enforcement Overview (1)



5.0.2 Enforcement Overview (2)

5.1 Income Withholding

- 5.1.1 The system will support the processing in 5.1.1 *Foreign Income Withholding* when tribal policy permits enforcement of a foreign income withholding order.
- 5.1.2 The system will support the processing in 5.1.2 *Voluntary Income Withholding* when tribal policy permits voluntary withholding.
- 5.1.3 The system will support the processing in 5.1.3 *Immediate Income Withholding* when tribal policy and the child support order permit income withholding.
- 5.1.4 The system will support the processing in 5.1.4 *Garnishment* when a case is delinquent and tribal policy permits pursuing a withholding order.
- 5.1.5 The system will generate an ***Affidavit of Direct Payment – Enforcement*** (#104) as required to verify direct payment of child support.
- 5.1.6 The system will update enforcement status and will support the processing in 4.1 *Order Data* to update order information at the conclusion of all Income Withholding processing.

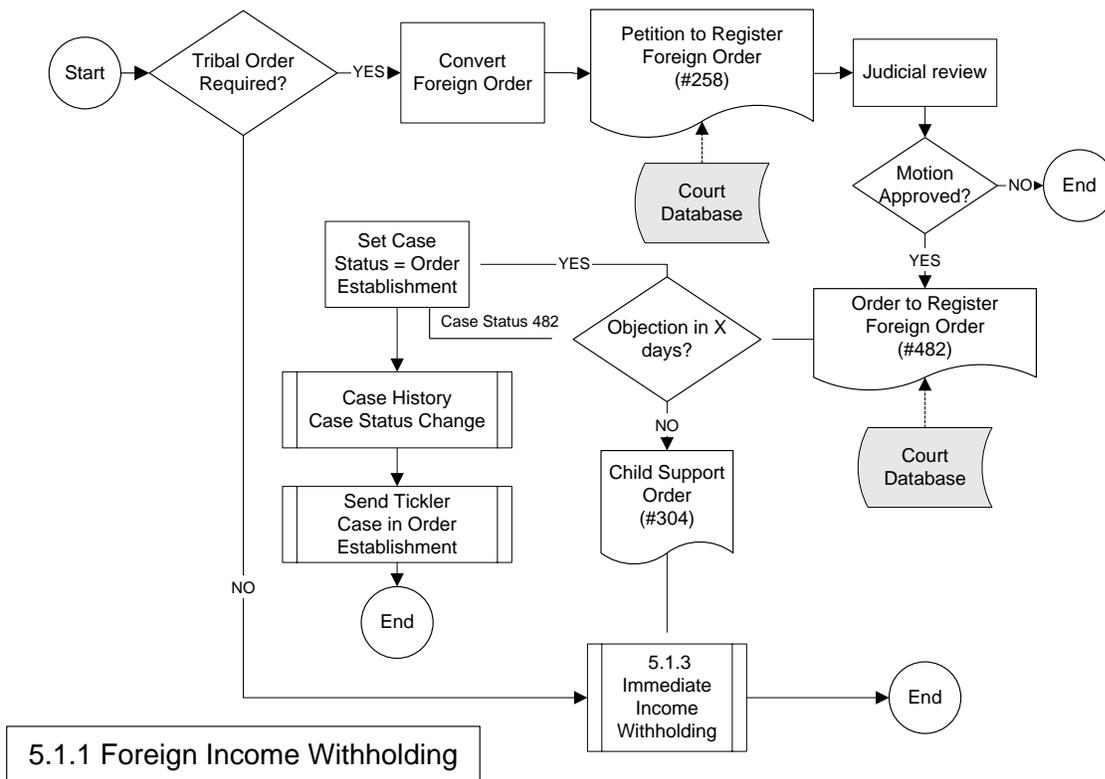


5.1 Income Withholding

Data Groups Referenced:		
Enforcement Data	Enforcement Eligibility Status	

5.1.1 Foreign Income Withholding

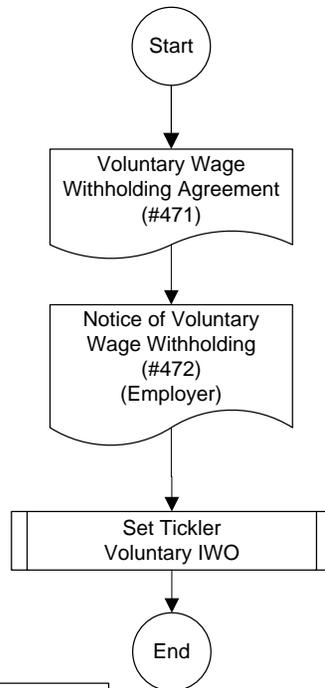
- 5.1.1.1 If a tribal order is not required to enforce a foreign income withholding order, then processing will proceed to 5.1.3 *Immediate Income Withholding*.
- 5.1.1.2 If a tribal order is required to enforce a foreign income withholding order, then the system will generate a **Petition to Register Foreign Order** (#258).
- 5.1.1.3 If a judicial review approves the **Petition to Register Foreign Order** (#258), the system will generate an **Order to Register Foreign Order** (#482).
- 5.1.1.4 If no objection to the registration of the foreign order is received from participants within the time allowed by tribal policy, the system will prompt the caseworker to generate a **Child Support Order** (#304) and perform the processing in 5.1.3 *Immediate Income Withholding*.



5.1.2 Voluntary Income Withholding

5.1.2.1 The system will generate a **Voluntary Wage Withholding Agreement** (#471) and a **Notice of Voluntary Wage Withholding** (#472).

5.1.2.2 The system will set a Voluntary IWO Tickler to prompt the caseworker to follow-up on the withholding.

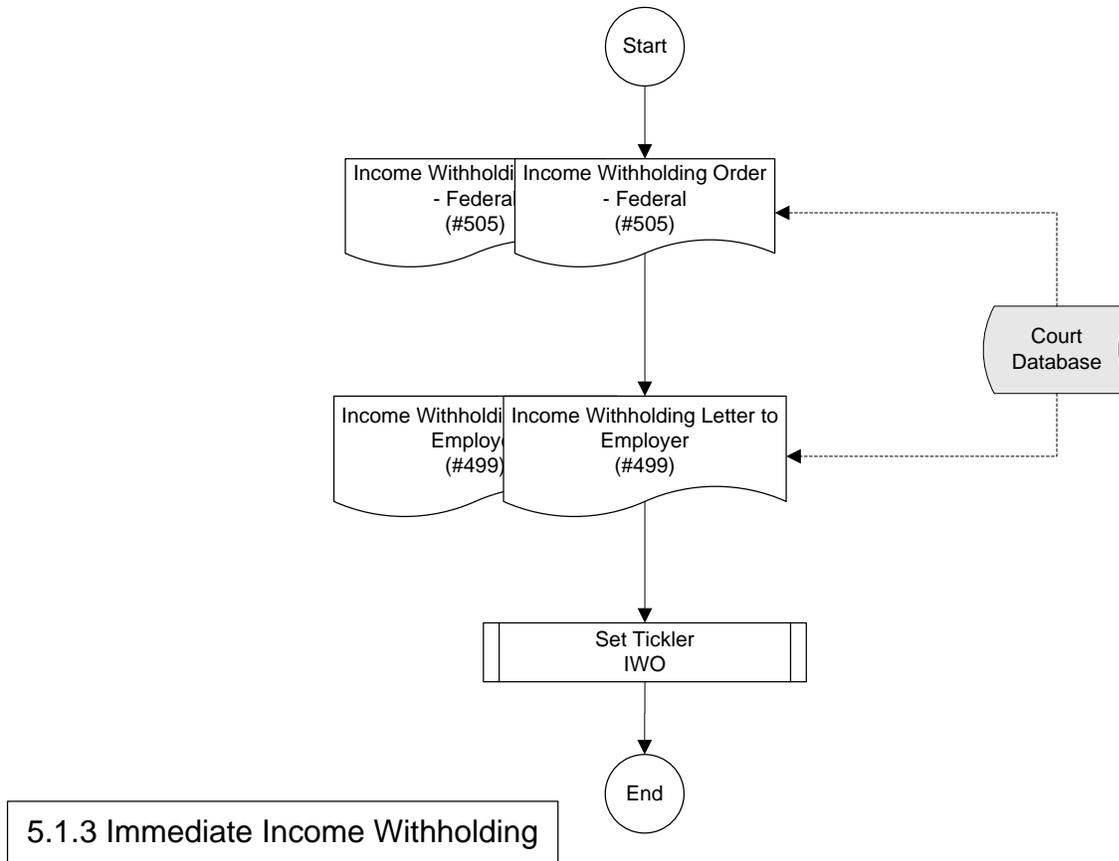


5.1.2 Voluntary Income Withholding

5.1.3 Immediate Income Withholding

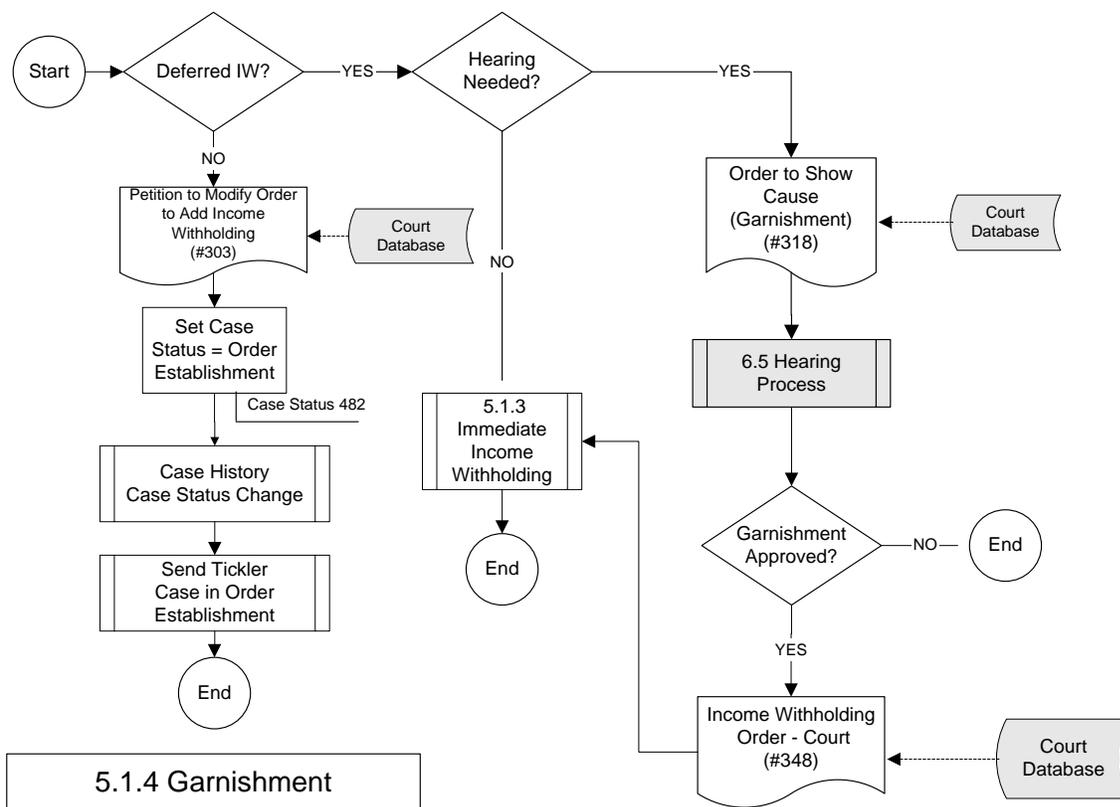
5.1.3.1 The system will generate an ***Income Withholding Order – Federal*** (#505) and an ***Income Withholding Letter to Employer*** (#499) for both the NCP and the employer.

5.1.3.2 The system will set an ***IWO Tickler*** to prompt the caseworker to follow-up on the withholding.



5.1.4 Garnishment

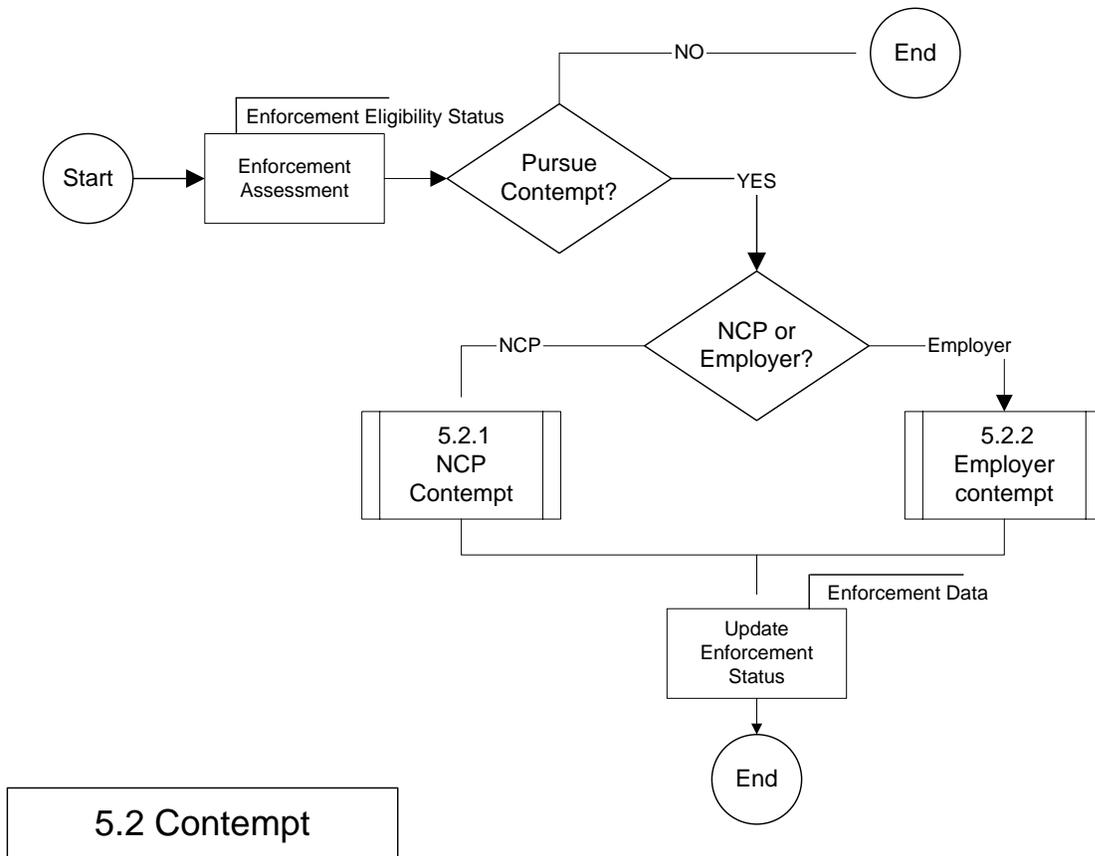
- 5.1.4.1 If deferred income withholding is not part of the child support order, the system will generate a **Petition to Modify Order to Add Income Withholding** (#303), set the Case Status to *Order Establishment*, create a **Case Status Change Event**, and set a Case in Order Establishment Tickler.
- 5.1.4.2 If deferred income withholding is part of the child support order and no hearing is required, the system will perform the processing in 5.1.3 *Immediate Income Withholding*.
- 5.1.4.3 If deferred income withholding is part of the child support order and a hearing is required, the system will perform the processing in 6.5 *Hearing Process* and generate an **Order to Show Cause** (#318).
- 5.1.4.4 If the hearing approves the garnishment, the system will generate an **Income Withholding Order - Court** (#348) and will then proceed to 5.1.3 *Immediate Income Withholding*.



5.2 Contempt

5.2.1 If the tribal agency pursues contempt, processing will continue with *5.2.1 NCP Contempt* for contempt actions against an NCP or to *5.2.2 Employer Contempt* for contempt actions against an employer.

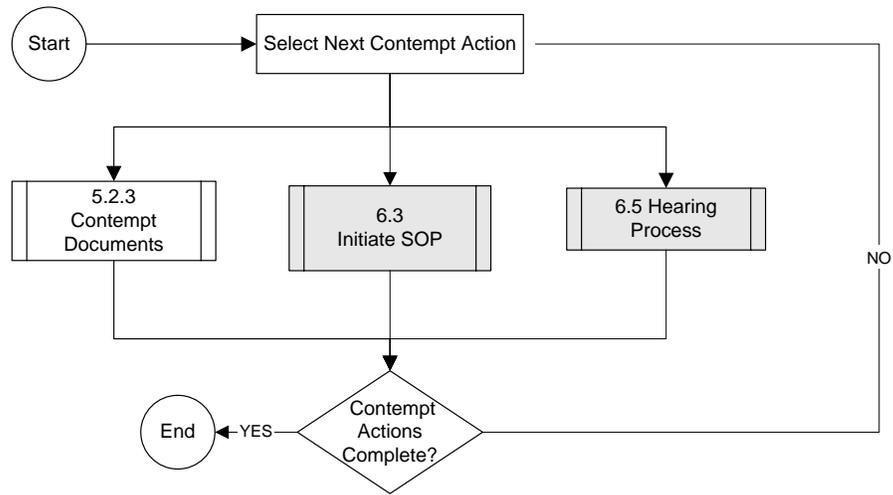
5.2.2 The system will update the Enforcement Status of the case.



Data Groups Referenced:		
Enforcement Data	Enforcement Eligibility Status	

5.2.1 NCP Contempt

5.2.1.1 The system will support the caseworker in pursuing contempt actions against an NCP by generating contempt documents (5.2.3 *Contempt Documents*), initiating service of process (6.3 *Initiate SOP*), or by initiating a hearing process (6.5 *Hearing Process*).

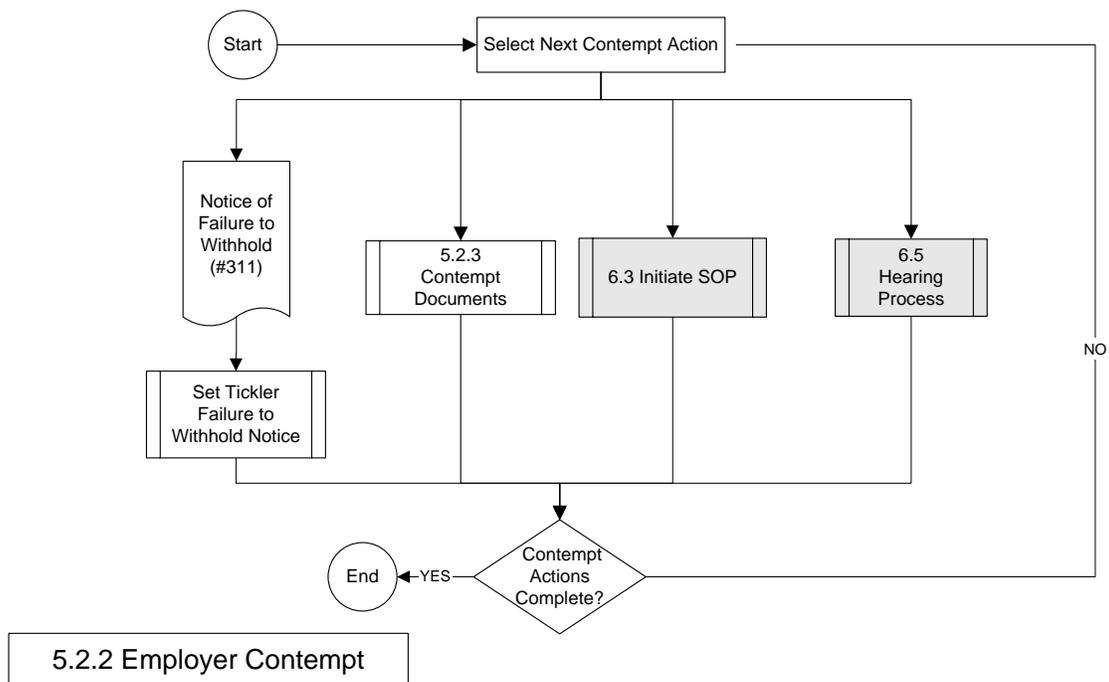


5.2.1 NCP Contempt

5.2.2 Employer Contempt

5.2.2.1 The system will support the caseworker in pursuing contempt actions against an employer by generating a ***Notice of Failure to Withhold*** (#311), generating other contempt documents (5.2.3 *Contempt Documents*), initiating service of process (6.3 *Initiate SOP*), or by initiating a hearing process (6.5 *Hearing Process*).

5.2.2.2 The system will generate a ***Failure to Withhold Notice Tickler*** when a ***Notice of Failure to Withhold*** (#311) is generated.



5.2.3 Contempt Documents

5.2.3.1 The system will provide for the selection and generation of the following documents:

5.2.3.1-a *Appointment Letter – Enforcement* (#494)

5.2.3.1-b *Summons - Enforcement* (#488)

5.2.3.1-c *Notice-Motion to Show Cause* (#345)

5.2.3.1-d *Order to Show Cause* (#318)

5.2.3.1-e *Remedial Contempt Order* (#319)

5.2.3.1-f *Voluntary Service Acceptance Letter* (#300)

5.2.3.1-g *Affidavit of Mailing* (#508)

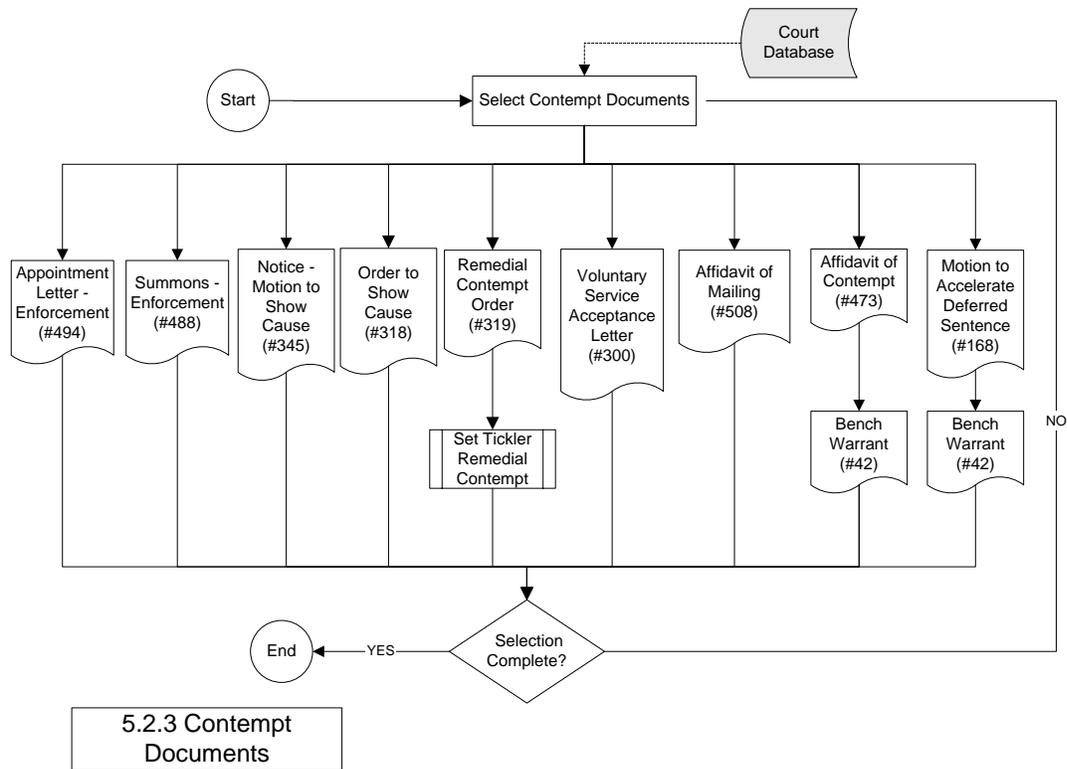
5.2.3.1-h *Affidavit of Contempt* (#473)

5.2.3.1-i *Motion to Accelerate Deferred Sentence* (#168)

5.2.3.1-j *Bench Warrant* (#42)

5.2.3.2 The system will generate a Remedial Contempt Tickler when a *Remedial Contempt Order* (#319) is generated.

5.2.3.3 A *Bench Warrant* (#42) will be generated in conjunction with an *Affidavit of Contempt* (#473) or a *Motion to Accelerate Deferred Sentence* (#168).



5.3 License Suspension

5.3.1 The system will provide for the selection and generation of the following documents:

5.3.1-a *Child Support Enforcement Transmittal #1*

5.3.1-b *Order to Show Cause* (#318)

5.3.1-c *License Suspension NCP Tribal Warning Letter* (#55)

5.3.1-d *Petition to Suspend Tribal License* (#316)

5.3.1-e *Order to Suspend Tribal License* (#474).

5.3.2 Generation of documents will produce ticklers as follows:

5.3.2-a Generation of a *Child Support Enforcement Transmittal #1* will set a State Notice Tickler.

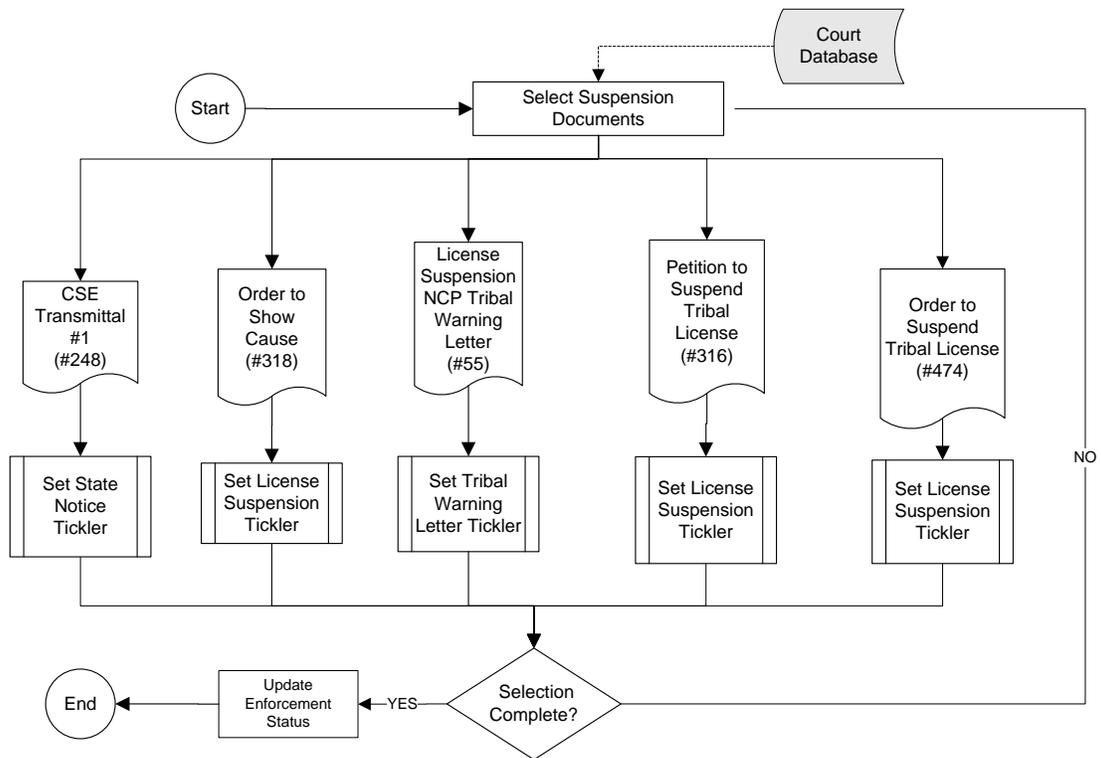
5.3.2-b Generation of an *Order to Show Cause* (#318) will set a License Suspension Tickler.

5.3.2-c Generation of a *License Suspension NCP Tribal Warning Letter* (#55) will set a Tribal Warning Letter Tickler.

5.3.2-d Generation of a *Petition to Suspend Tribal License* (#316) will set a License Suspension Tickler.

5.3.2-e Generation of an *Order to Suspend Tribal License* (#474) will set a License Suspension Tickler.

5.3.3 The system will update Enforcement Status.

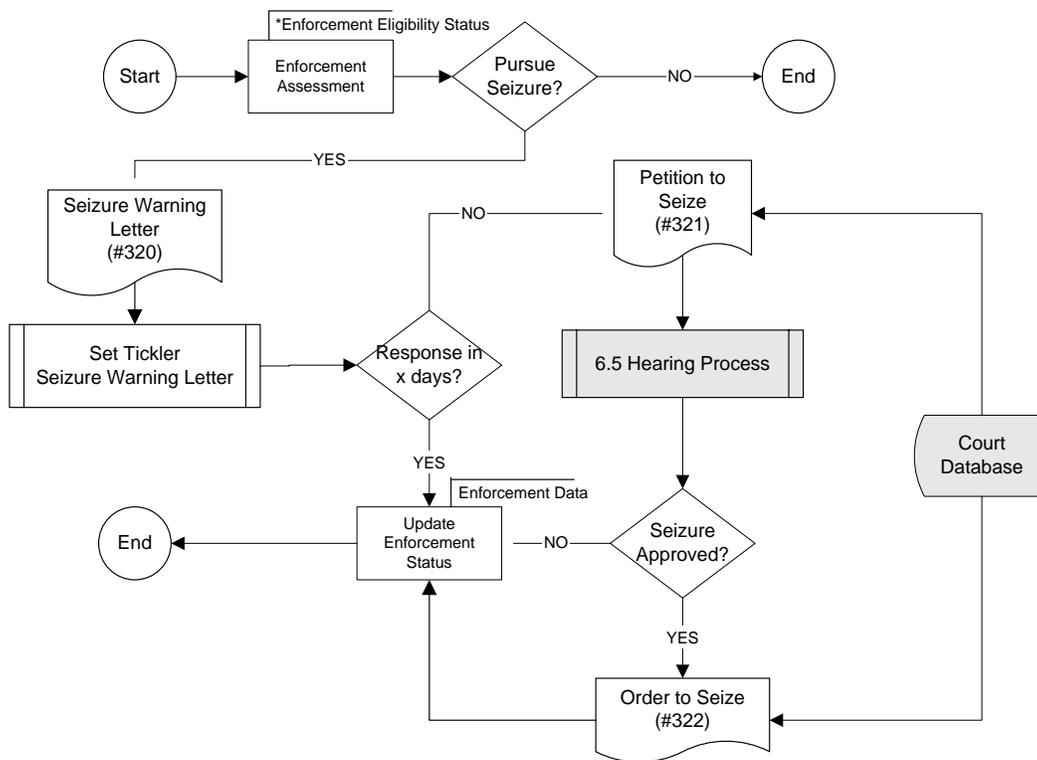


5.3 License Suspension

Data Groups Referenced:		
Enforcement Eligibility Status	Enforcement Data	

5.4 Seizure

- 5.4.1 If a caseworker has opted, in accordance with tribal policy, to seize NCP assets, the system will generate a **Seizure Warning Letter** (#320) and set a **Seizure Warning Letter Tickler**.
- 5.4.2 If there is no response to the **Seizure Warning Letter** (#320) within the time period set by tribal policy, the system will generate a **Petition to Seize** (#321).
- 5.4.3 If the **Petition to Seize** (#321) is approved by the hearing process, the system will generate and **Order to Seize** (#322).
- 5.4.4 The system will update Enforcement Status.

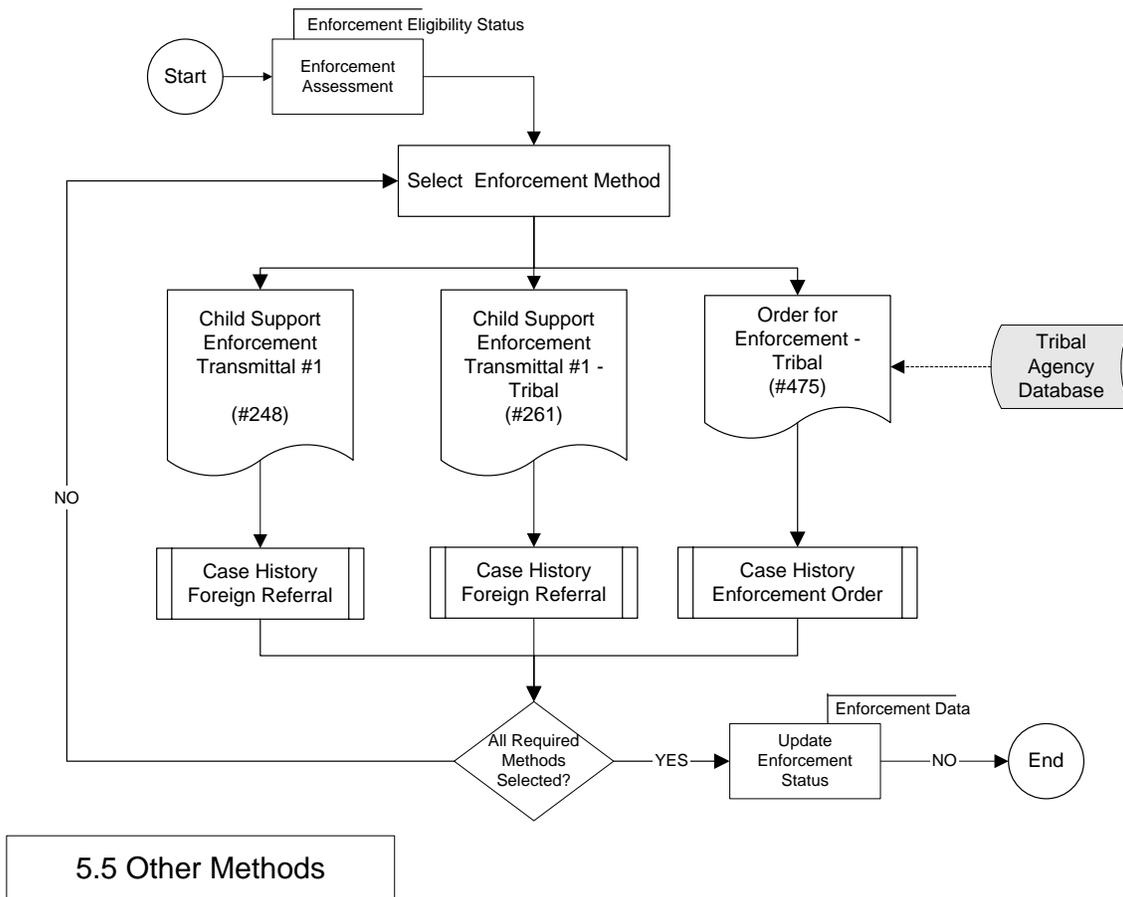


5.4 Seizure

Data Groups Referenced:		
Enforcement Eligibility Status	Enforcement Data	

5.5 Other Methods

- 5.5.1 If a caseworker has opted, in accordance with tribal policy, to refer a case to another tribe for enforcement, the system will generate a **Child Support Enforcement Transmittal #1 - Tribal** (#261) and create a **Foreign Referral Event**.
- 5.5.2 If a caseworker has opted, in accordance with tribal policy, to refer a case to a state for enforcement, the system will generate a **Child Support Enforcement Transmittal #1** (#248) and create a **Foreign Referral Event**.
- 5.5.3 If a caseworker has opted, in accordance with tribal policy, to pursue a tribe-specific enforcement method, the system will generate an **Order for Enforcement - Tribal** (#475) to handle unspecified tribal enforcement methods and will create an **Enforcement Order Event**.
- 5.5.4 The system will update Enforcement Status.

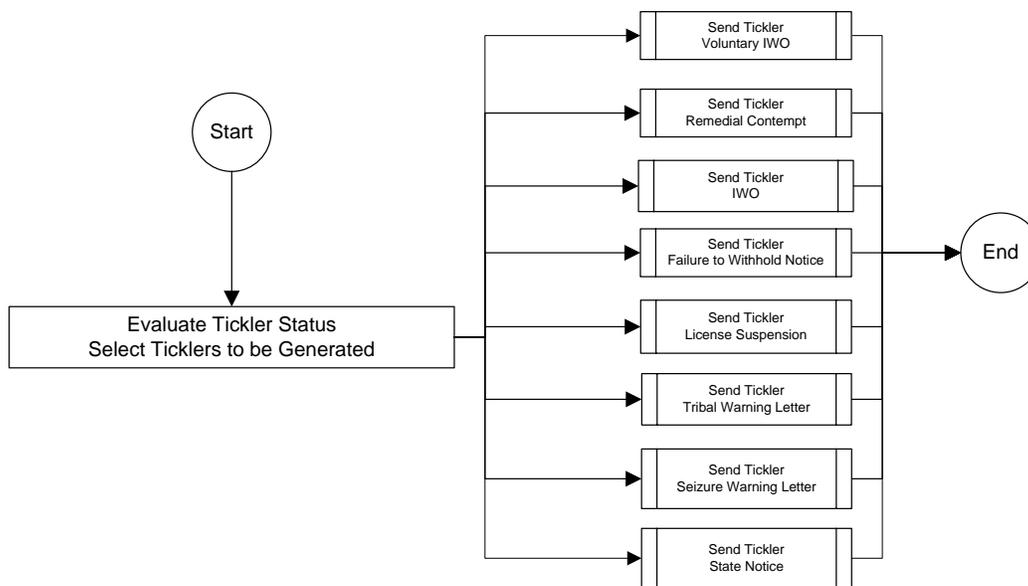


Data Groups Referenced:		
Enforcement Data	Enforcement Eligibility Status	

5.6 Enforcement Alert Monitor

5.6.1 The system will send the following ticklers on the day specified by the caseworker when setting the tickler:

- 5.6.1-a** Voluntary IWO Tickler
- 5.6.1-b** Remedial Contempt Tickler
- 5.6.1-c** IWO Tickler
- 5.6.1-d** Failure to Withhold Notice Tickler
- 5.6.1-e** License Suspension Tickler
- 5.6.1-f** Tribal Warning Letter Tickler
- 5.6.1-g** Seizure Warning Letter Tickler
- 5.6.1-h** State Notice Tickler



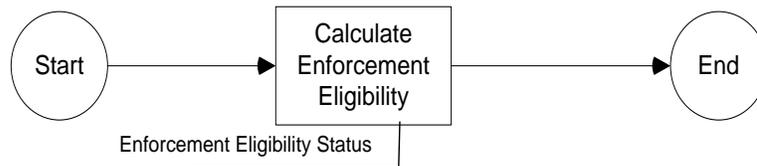
5.6 Enforcement Alert Monitor

5.7 Enforcement Monitor

5.7.1 Deleted

5.7.2 The system will calculate what enforcement methods are eligible to be used on a case based on configuration data and NCP arrears.

5.7.3 Deleted

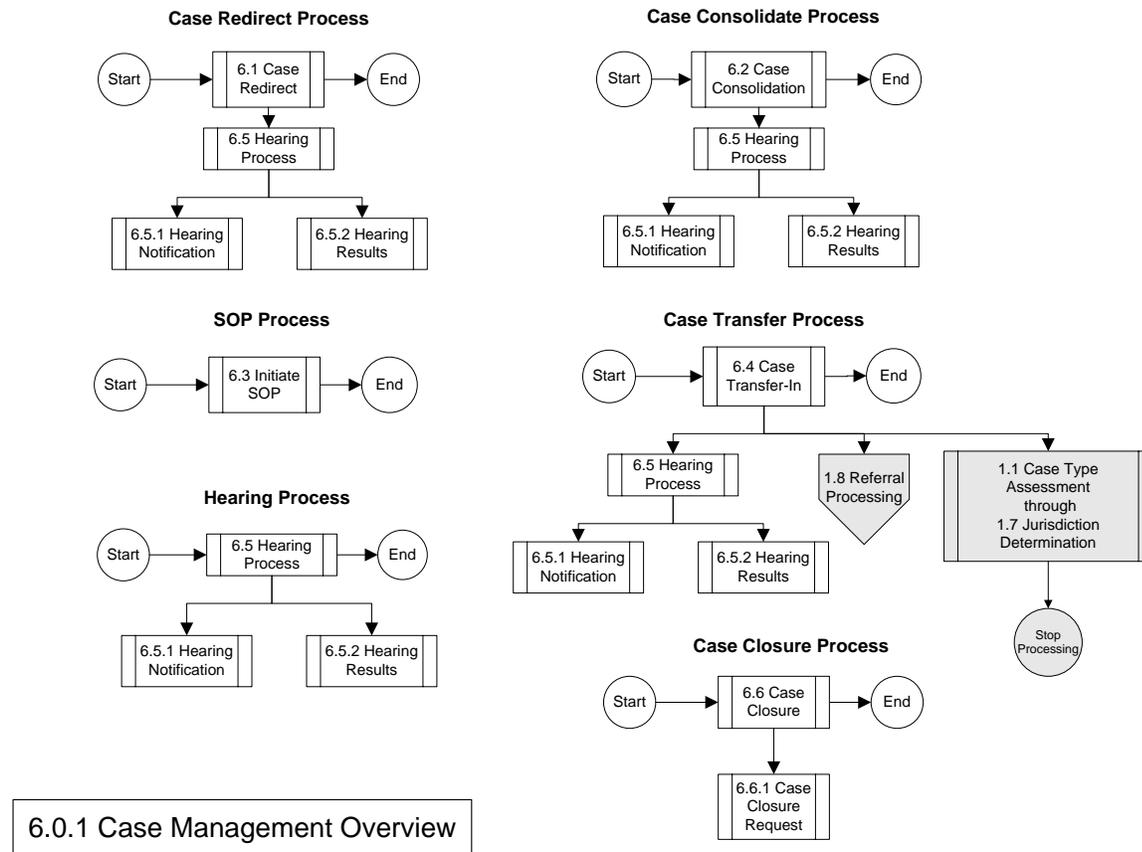


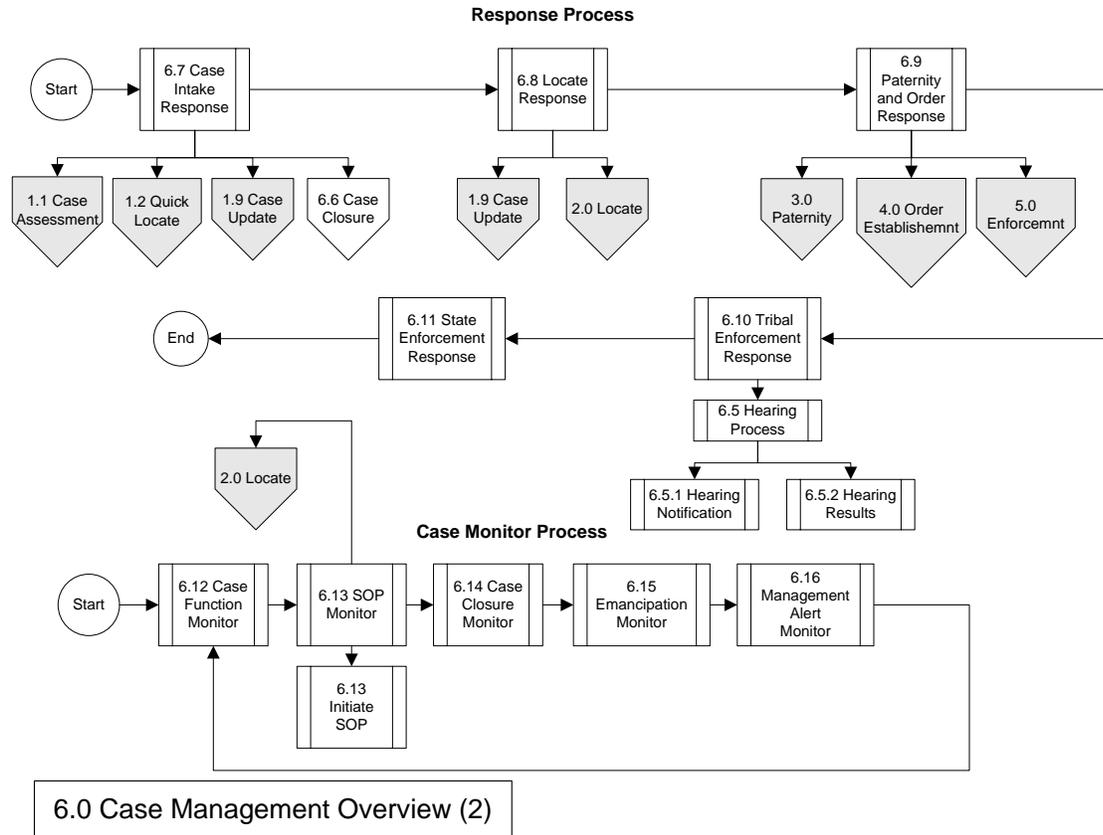
5.7 Enforcement Monitor

Data Groups Referenced:		
Enforcement Eligibility Status		

6.0 Case Management Process

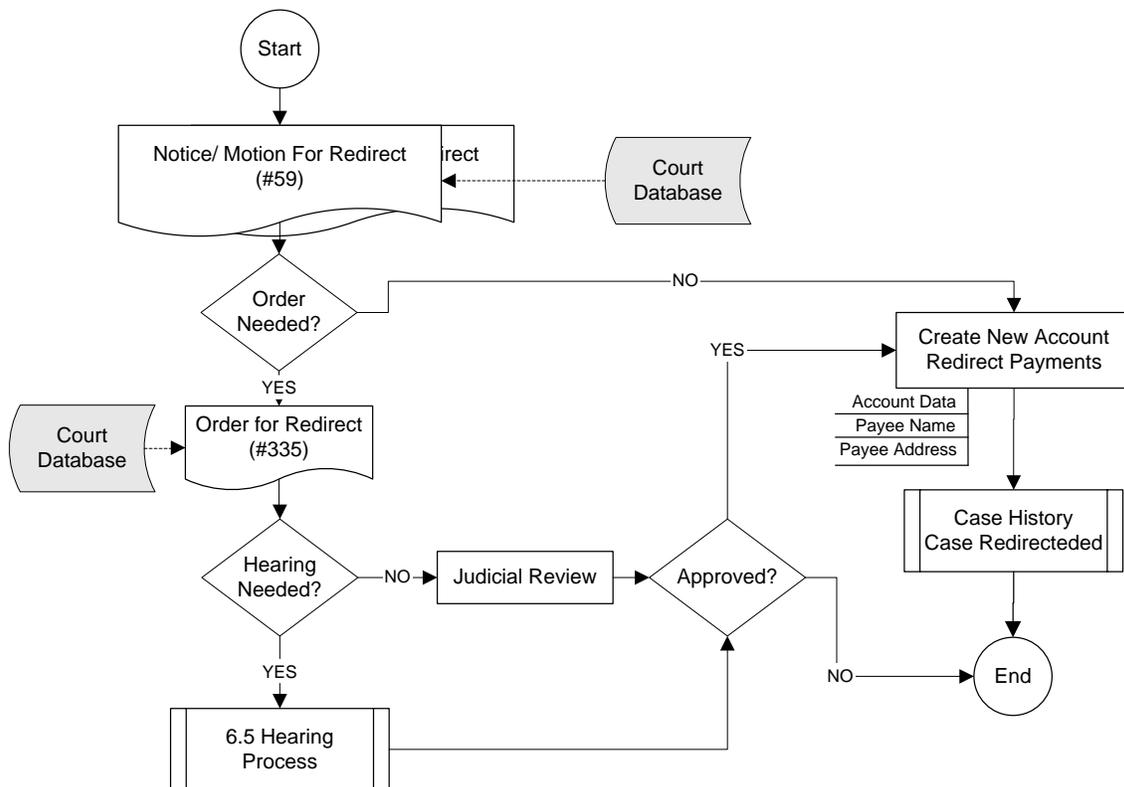
- 6.0.1 The system will support the caseworker in managing child support cases.
- 6.0.2 The system will support the redirection of cases.
- 6.0.3 The system will support the consolidation of cases.
- 6.0.4 The system will support the initiation of service of process.
- 6.0.5 The system will support the transfer of child support case from other jurisdictions into the system.
- 6.0.6 The system will support the establishment hearing process.
- 6.0.7 The system will support case closure.
- 6.0.8 The system will monitor responses by case participants to caseworker and system actions.
- 6.0.9 The system will support the automatic monitoring of Case Function, service of process, case closure, and dependent child emancipation.
- 6.0.10 The system will support the generation of miscellaneous documents.





6.1 Case Redirect

- 6.1.1 If the caseworker has determined, in accordance with tribal policy, that payments on a child support case will be redirected, the system will generate a **Notice/Motion for Redirect** (#59) for both parties.
- 6.1.2 If an order is not needed to redirect the system will allow the caseworker to create an account for the new payee and will create a **Case Redirected Event**.
- 6.1.3 If an order is needed to redirect the system will generate an **Order for Redirect** (#335).
- 6.1.4 If a hearing is needed to redirect, processing will continue with *6.5 Hearing Process*.
- 6.1.5 If the redirect is approved by hearing or judicial review, the system will allow the caseworker to create an account for the new payee and will create a **Case Redirected Event**.

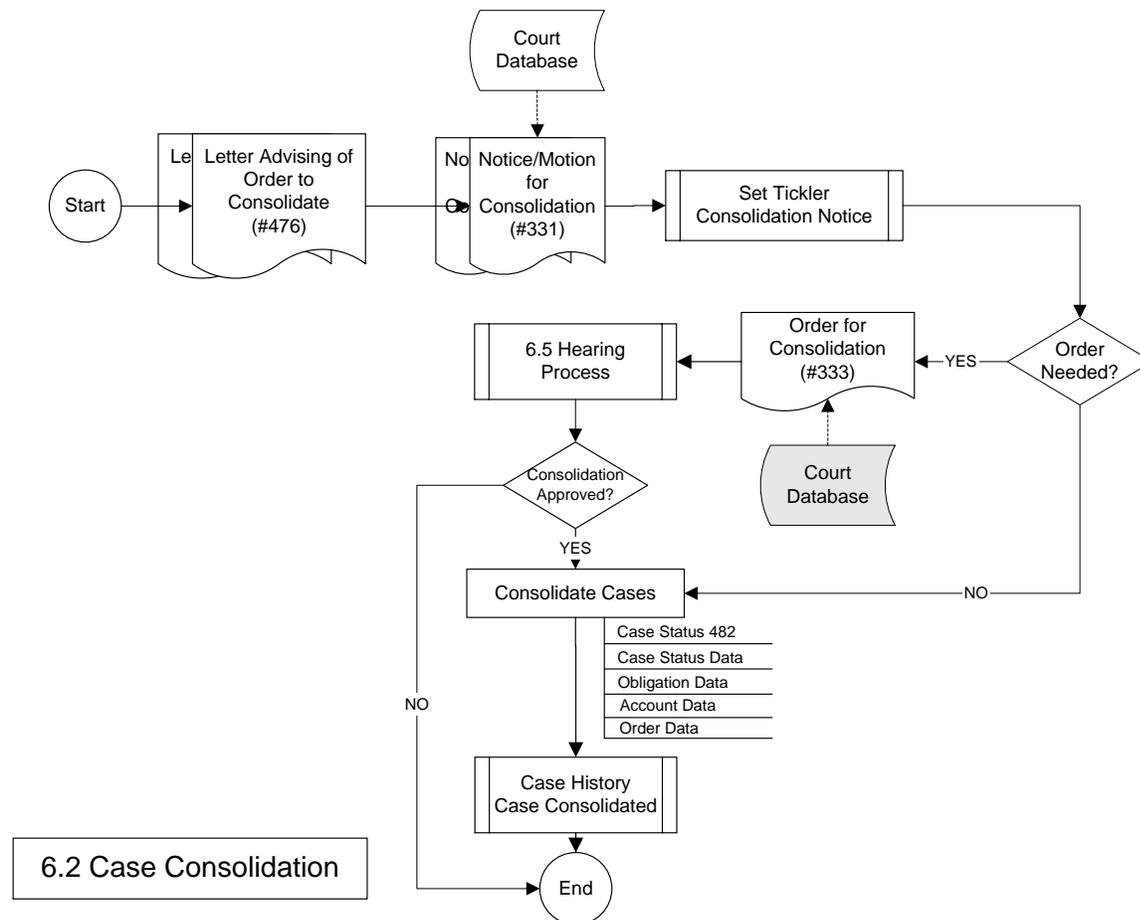


6.1 Case Redirect

Data Groups Referenced:		
Account Data	Payee Address	Payee Name

6.2 Case Consolidation

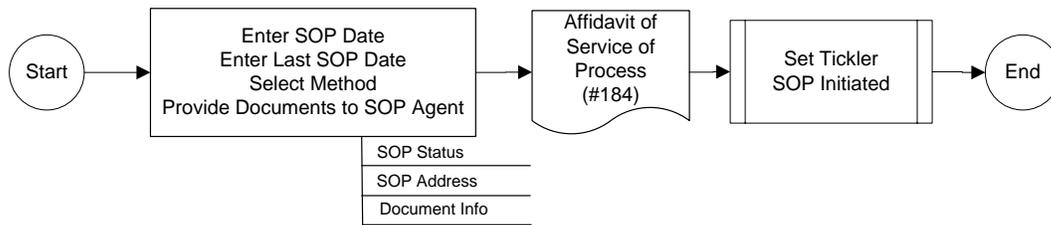
- 6.2.1** If the caseworker has determined, in accordance with tribal policy, that two child support cases will be consolidated, the system will generate a **Letter Advising of Order to Consolidate** (#476) for both parties and a **Notice/Motion for Consolidation** (#331) for both parties and the court. The system will set a **Consolidation Notice Tickler** when the documents are generated.
- 6.2.2** If an order is needed for consolidation, the system will generate an **Order for Consolidation** (#333) and prompt the caseworker to perform the processing in 6.5 **Hearing Process**.
- 6.2.3** If an order is not needed or an order has been approved by the hearing process, the system will allow the caseworker to consolidate the cases and will generate a **Case Consolidated Event**.



Data Groups Referenced:		
Account Data	Case Status Data	Obligation Data
Order Data		

6.3 Initiate SOP

- 6.3.1** The system will accept entries related to service of process, including the date service was initiated, the last possible date of service, the actual date of service, the method of service, the process server, publication dates, and documents being served.
- 6.3.2** The system will generate an *Affidavit of SOP* (#184) to be used by the process server.
- 6.3.3** The system will set a SOP Initiated Tickler when service of process is initiated.

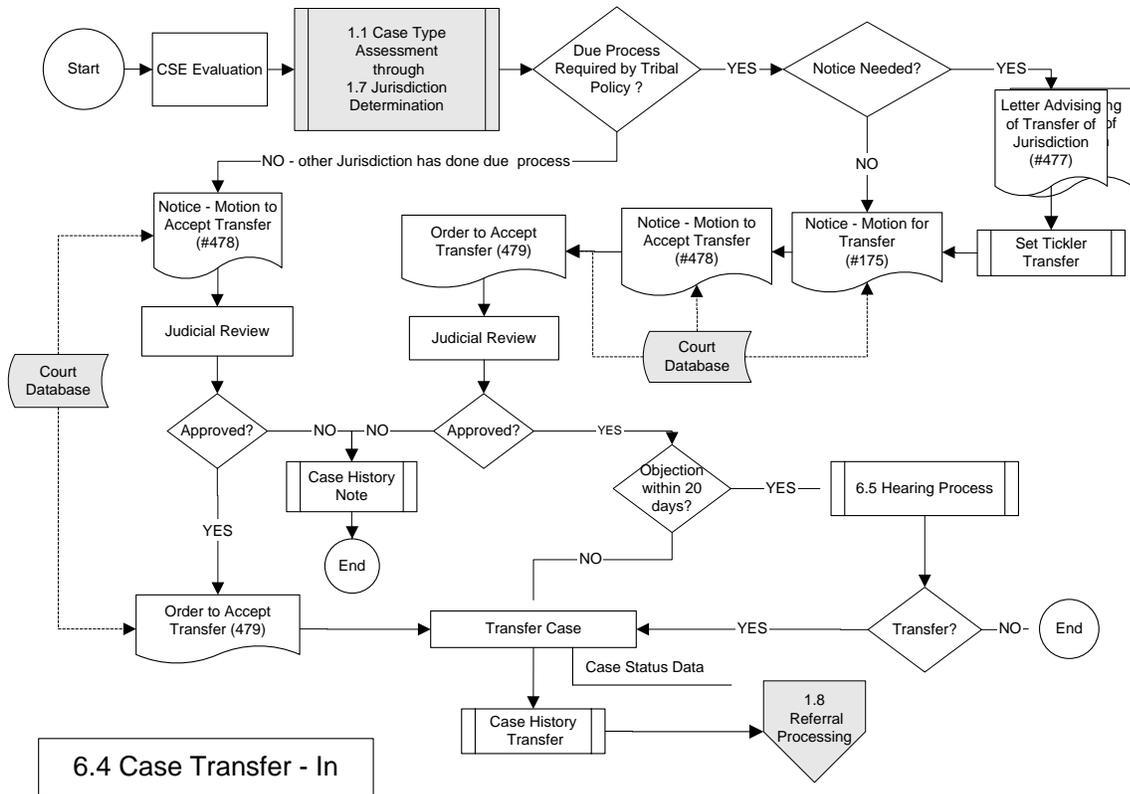


6.3 Initiate SOP

Data Groups Referenced:		
Document Info	SOP Address	SOP Status

6.4 Case Transfer - In

- 6.4.1** For an incoming case, the system will support processing as described in 1.1 *Case Type Assessment* though 1.7 *Jurisdiction Determination*, inclusive.
- 6.4.2** If tribal policy requires does not require additional due process, the system will generate a **Notice/Motion to Accept Transfer** (#478) and an **Order to Accept Transfer** (#479). If a judicial review approves the order, then the system will allow the case transfer and will create a **Transfer Event**.
- 6.4.3** If tribal policy requires additional due process:
- 6.4.3-a** If notice is required, the system will generate a **Letter Advising of Transfer of Jurisdiction** (#477) and will set a **Transfer Tickler**.
- 6.4.3-b** If notice has been given or no notice is required, the system will generate a **Notice/Motion for Transfer** (#175) and a **Notice/Motion to Accept Transfer** (#478) and an **Order to Accept Transfer** (#479).
- 6.4.3-c** If a judicial review approves the order and there is no objection within 20 calendar days, then the system will allow the case transfer and will create a **Transfer Event**.
- 6.4.3-d** If a judicial review approves the order and there is an objection within 20 calendar days, then the system will support scheduling a hearing using the process in 6.5 *Hearing Process*. If the hearing approves the transfer then the system will allow the case transfer and will create a **Transfer Event**.
- 6.4.4** If the case is legally transferred, processing will proceed to 1.8 *Referral Processing*.
- 6.4.5** If the transfer is not approved either by judicial review or the hearing process, the caseworker will be prompted to enter a **Case History Note**.

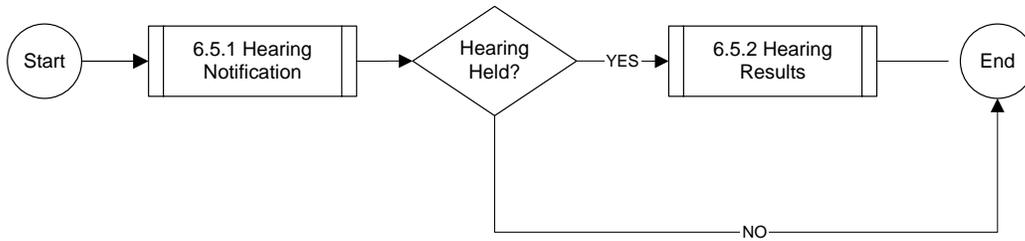


Data Groups Referenced:		
Case Status Data		

6.5 Hearing Process

6.5.1 The system will support the scheduling and generation of notices for a hearing as described in 6.5.1 *Hearing Notification*.

6.5.2 If a hearing is held, the system will support the recording of hearing results as described in 6.5.2 *Hearing Results*.



6.5 Hearing Process

6.5.1 Hearing Notification

6.5.1.1 The system will support the scheduling of a hearing and the setting of a Hearing Scheduled Tickler.

6.5.1.2 The system will support the generation of the following notices as required:

6.5.1.2-a Hearing Notice - Reschedule (#542)

6.5.1.2-b Hearing Notice - Enforcement (#485)

6.5.1.2-c Hearing Notice - Modification (#486)

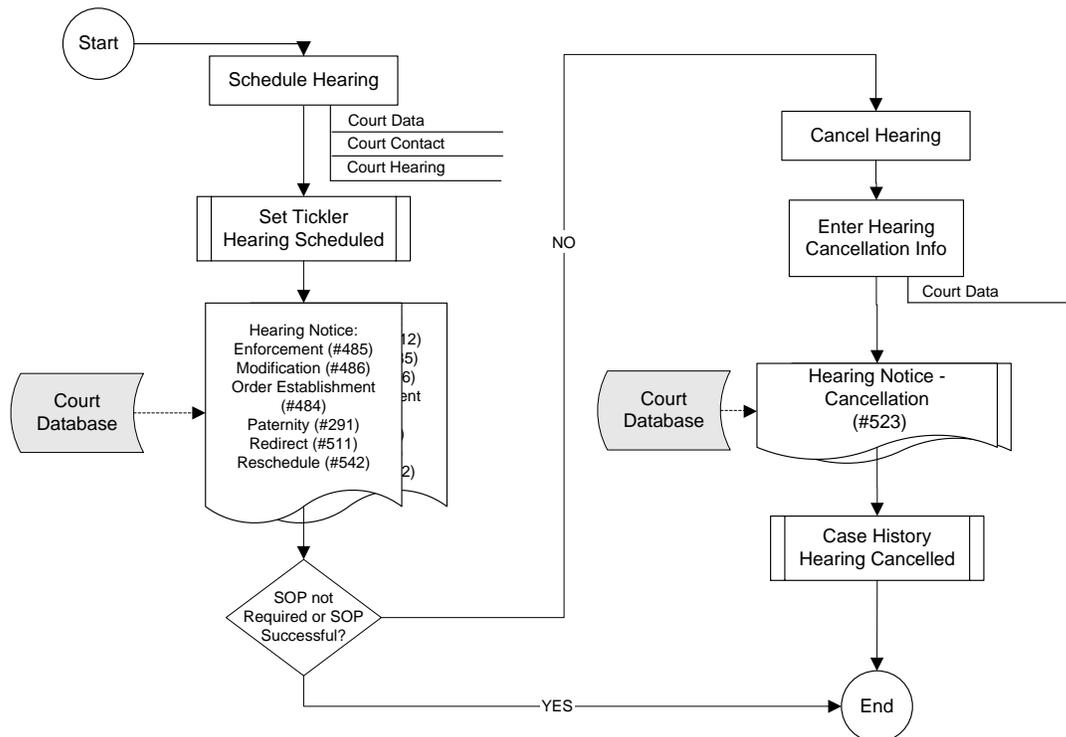
6.5.1.2-d Hearing Notice - Order Establishment (#484)

6.5.1.2-e Hearing Notice - Paternity (#291)

6.5.1.2-f Hearing Notice - Redirect (#511)

6.5.1.3 If service of process is not required or has not been successful, the system will support the cancellation of the hearing, the entrance of data regarding the cancellation and the generation of the Hearing Notice - Cancellation (#523).

6.5.1.4 If a hearing has been cancelled, the system will generate a Hearing Cancelled Event.

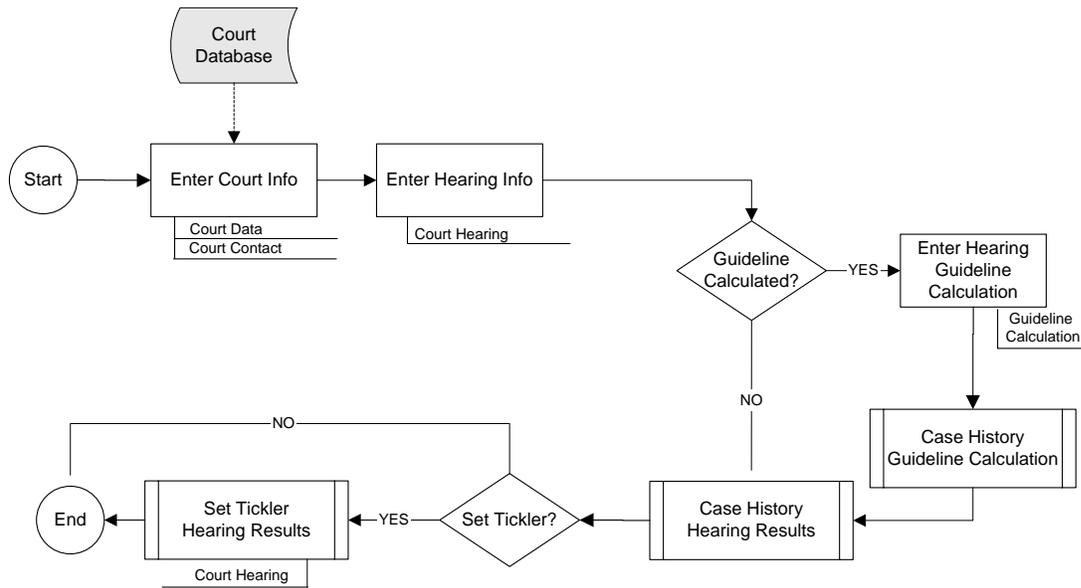


6.5.1 Hearing Notification

Data Groups Referenced:		
Court Contact	Court Data	Court Hearing

6.5.2 Hearing Results

- 6.5.2.1 If a hearing has been held, the system will support the entry of data regarding the court and the hearing.
- 6.5.2.2 If a child support guideline calculation has been made during the hearing, the system will support the entry of this data and the creation of a **Guideline Calculated Event**.
- 6.5.2.3 If a hearing data has been entered, the system will create a **Hearing Results Event**.
- 6.5.2.4 The system will support the user in the creation of an optional **Hearing Results Tickler**.

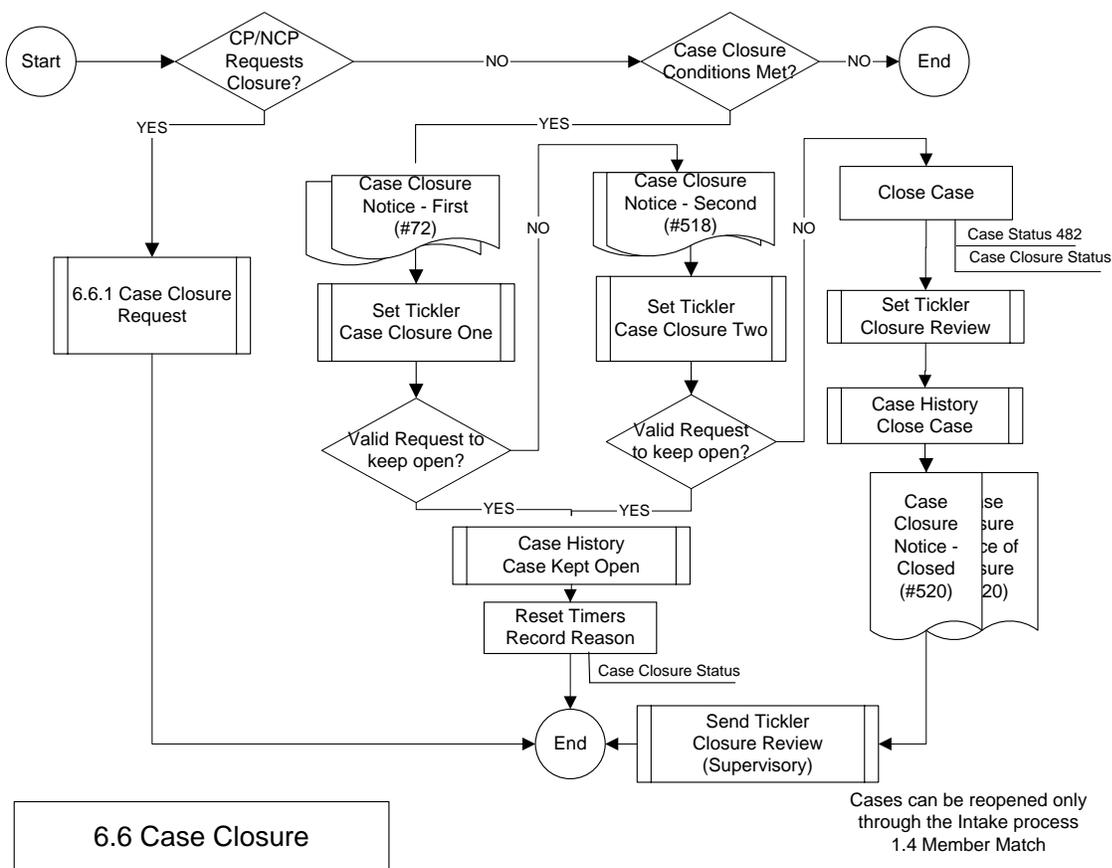


6.5.2 Hearing Results

Data Groups Referenced:		
Court Contact	Court Data	Court Hearing
Guideline Calculation		

6.6 Case Closure

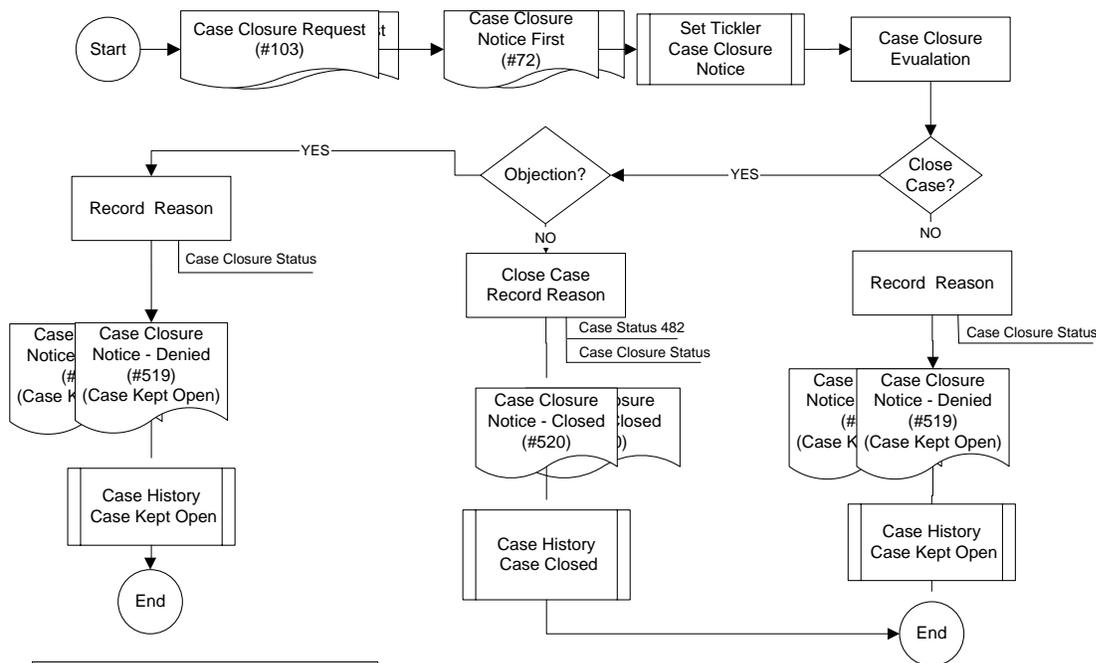
- 6.6.1** If the CP or NCP request closure of a case, the system will perform the processing in *6.6.1 Case Closure Request*.
- 6.6.2** If the conditions for case closure have been met, the system will generate a **Case Closure Notice – First** (#72) and set a **Case Closure One Tickler**.
- 6.6.3** If a valid request to keep the case open is not received within the period defined by tribal policy, the system will generate a **Case Closure Notice – Second** (#518) and set a **Second Case Closure Two Tickler**.
- 6.6.4** If a valid request to keep the case open is not within the period defined by tribal policy, the system will allow the caseworker to change the case status to *Closed*. The system will also generate a **Case Closure Notice – Closed** (#520) for both parties, will create a **Close Case Event**, and will set a **Closure Review Tickler**.
- 6.6.5** If a request, deemed valid by the tribe, to keep the case open is received before case closure, the system will generate a **Case Kept Open Event** and will reset all timers associated with case closure.



Data Groups Referenced:		
Case Closure Status		

6.6.1 Case Closure Request

- 6.6.1.1 The system will generate a **Case Closure Request** (#103) to be filled out by the requesting party and a **Case Closure Notice – First** (#72) notice to be sent to all parties and will set a **Case Closure Notice Tickler**.
- 6.6.1.2 If a case closure evaluation determines that the case should not be closed, the system will generate a **Case Closure Notice – Denied** (#519) and set a **Case Kept Open Event**.
- 6.6.1.3 If a case closure evaluation determines that the case should be closed, and one of the parties objects with the time period determined by tribal policy, the system will generate a **Case Closure Notice – Denied** (#519) and will set a **Case Kept Open Event**.
- 6.6.1.4 If a case closure evaluation determines that the case should be closed, and none of the parties objects with the time period determined by tribal policy, the system will allow the caseworker to change the case status to *Closed* and will generate a **Case Closure Notice – Closed** (#520) and will set a **Case Closed Event**.

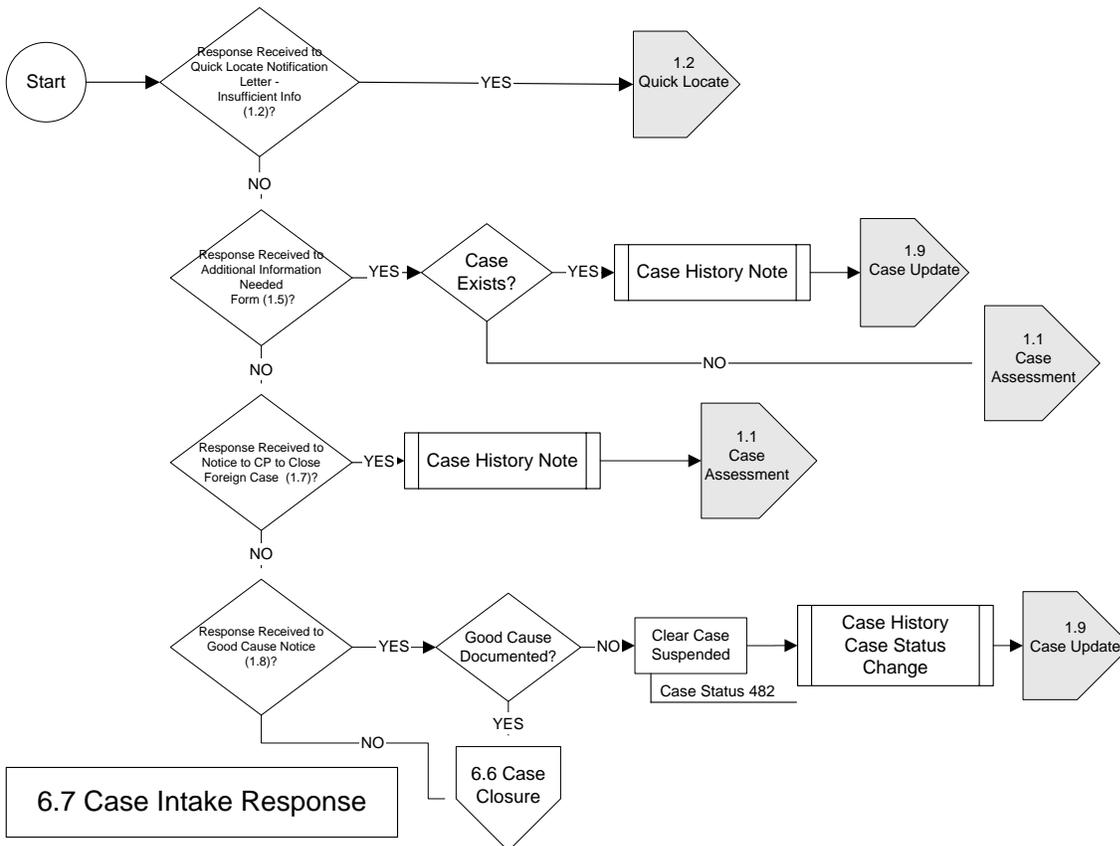


6.6.1 Case Closure Request

Data Groups Referenced:		
Case Closure Status		

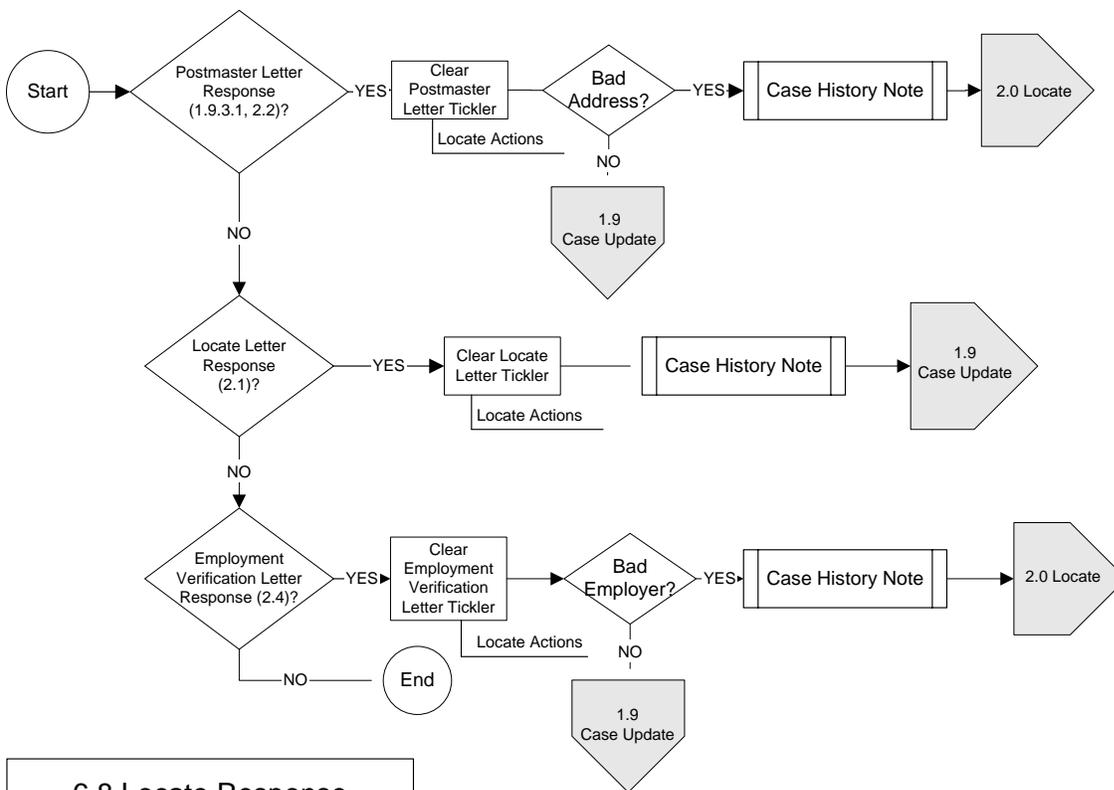
6.7 Case Intake Response

- 6.7.1 If a response has been received to a **Quick Locate Response Letter** (#277), the system will support the caseworker in performing the processing in *1.2 Quick Locate*.
- 6.7.2 If a response has been received to a **Request for Additional Information Letter** (#77) and the referenced case exists, the system will allow the caseworker to create a **Case History Note** and will support the caseworker in performing the processing in *1.9 Case Update*. If the referenced case does not exist, the system will support the caseworker in performing the processing in *1.1 Case Assessment*.
- 6.7.3 If a response has been received to a **Notice to CP to Close Foreign Case** (#346) the system will support the caseworker in performing the processing in *1.1 Case Assessment*.
- 6.7.4 If a response has been received to a **Non-Cooperation Waning Letter** (#14) and Good Cause has been adequately documented in accordance with tribal policy, the system will support the caseworker in performing the processing in *6.6 Case Closure*. If Good Cause has not been adequately documented in accordance with tribal policy, the system will allow the caseworker to clear the *Suspended* status of the case and will support the performing the processing in *1.9 Case Update*.
- 6.7.5 If case status has changed the system will generate a **Case Status Change Event**.



6.8 Locate Response

- 6.8.1** If a response has been received to a **Postmaster Letter** (#468) the system will allow the caseworker to clear the **Postmaster Letter Tickler**. If the address is invalid, the system will allow the caseworker to create a **Case History Note** and support the caseworker in performing the processing in *2.0 Locate*. If the address is valid the system will support the caseworker in performing the processing in *1.9 Case Update*.
- 6.8.2** If a response has been received to a **Locate Letter** (#8, 9, 272, or 275) the system will allow the caseworker to clear the **Locate Letter Tickler**, will allow the caseworker to create a **Case History Note**, and will support the caseworker in performing the processing in *1.9 Case Update*.
- 6.8.3** If a response has been received to an **Employment Verification Letter** (#6), the system will allow the caseworker to clear the **Employment Verification Letter Tickler**. If the employer is invalid, the system will allow the caseworker to create a **Case History Note** and support the caseworker in performing the processing in *2.0 Locate*. If the employer is the system valid will support the caseworker in performing the processing in *1.9 Case Update*.

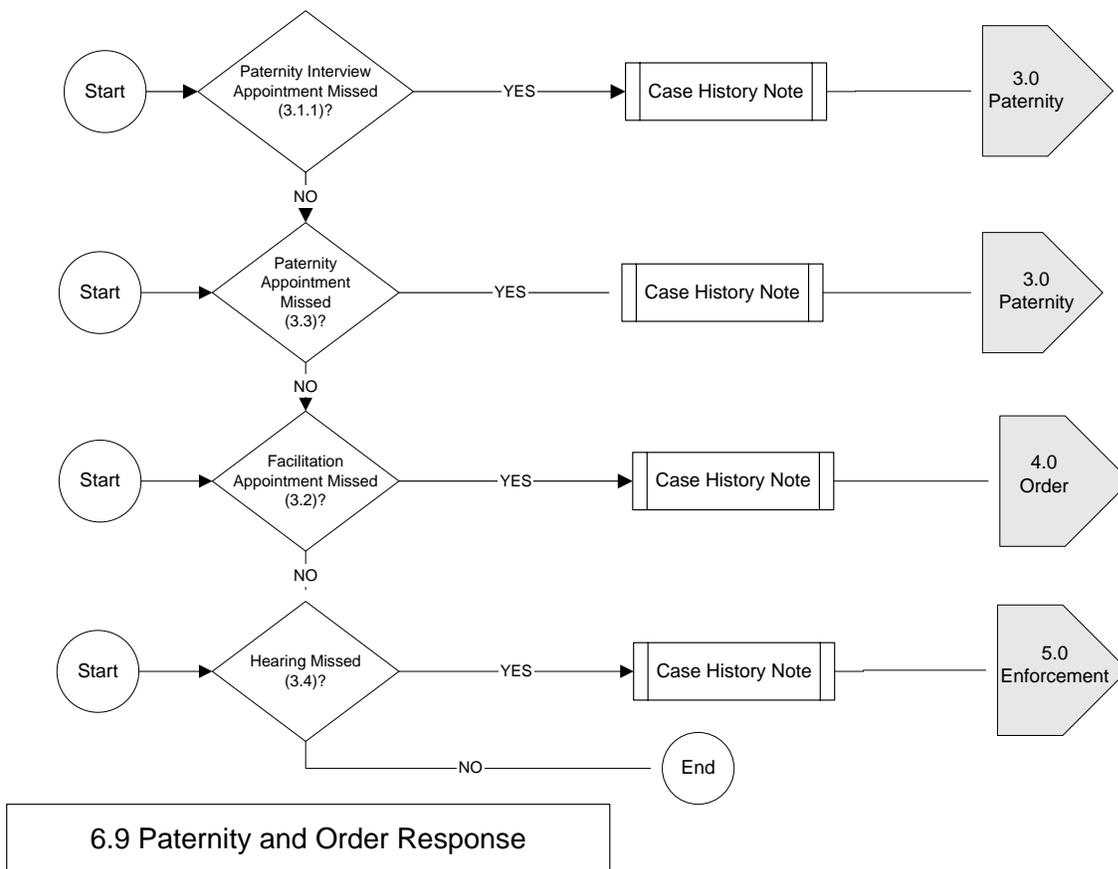


6.8 Locate Response

Data Groups Referenced:		
Locate Actions		

6.9 Paternity and Order Response

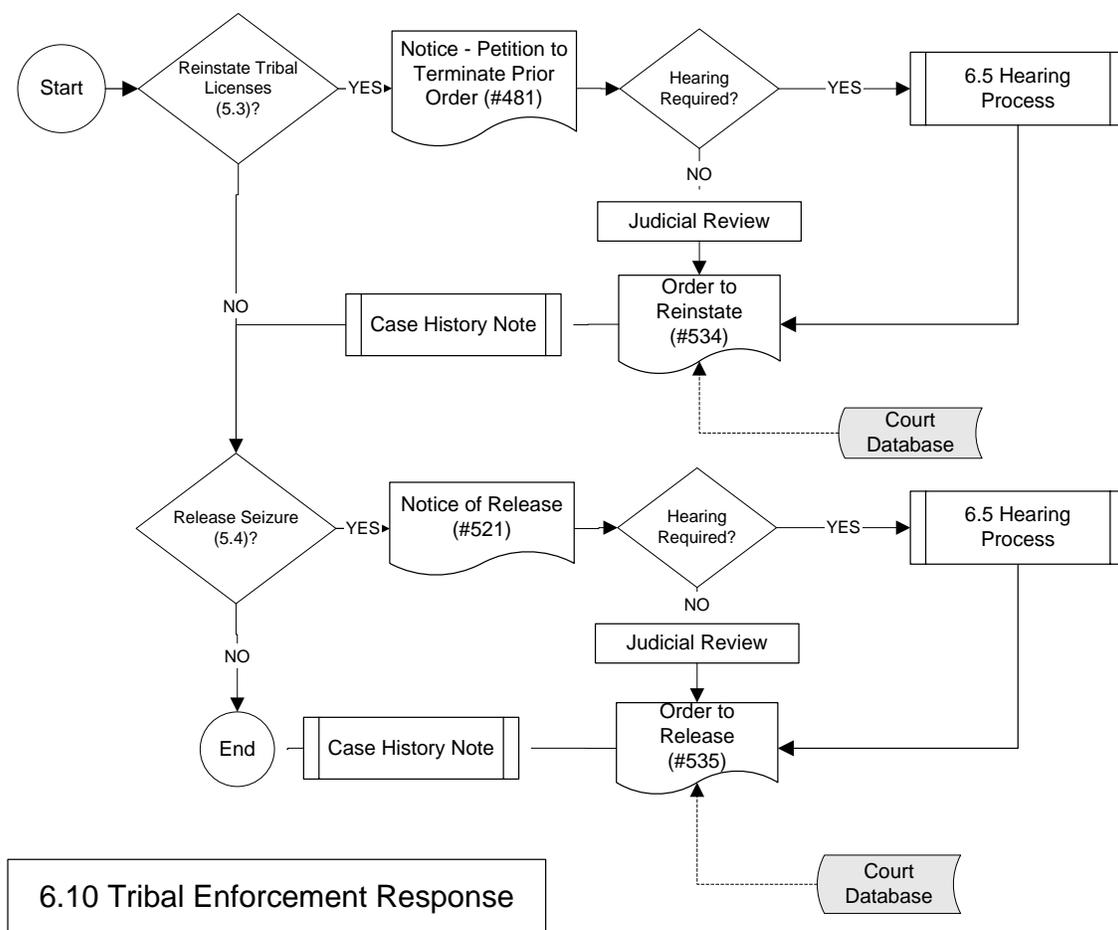
- 6.9.1 If a Paternity Interview Appointment has been missed, the system will allow the caseworker to create a **Case History Note** and will support the caseworker in performing the processing in *3.0 Paternity*.
- 6.9.2 If a Paternity Appointment has been missed, the system will allow the caseworker to create a **Case History Note** and will support the caseworker in performing the processing in *3.0 Paternity*.
- 6.9.3 If a Facilitation Appointment has been missed, the system will allow the caseworker to create a **Case History Note** and will support the caseworker in performing the processing in *4.0 Order*.
- 6.9.4 If a Hearing has been missed, the system will allow the caseworker to create a **Case History Note** and will support the caseworker in performing the processing in *5.0 Enforcement*.



6.10 Tribal Enforcement Response

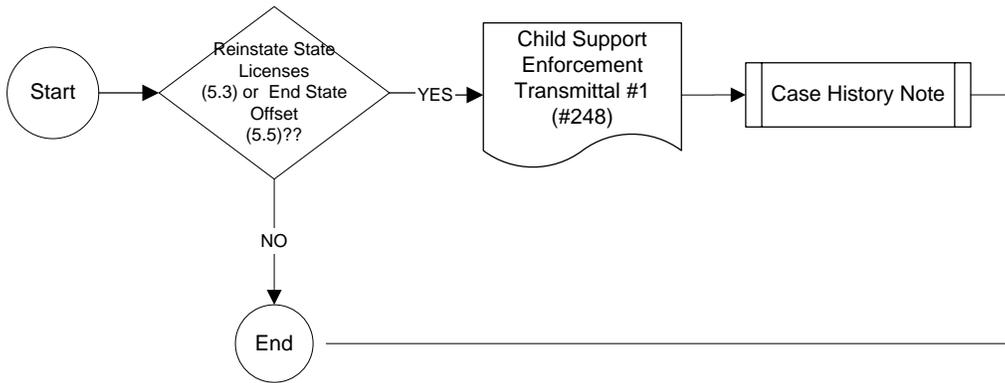
6.10.1 If the tribe has decided to reinstate a tribal license, the system will generate a **Notice/Petition to Terminate Prior Order** (#481) and an **Order to Reinstate** (#534). If a hearing is required, the system will perform the processing in *6.5 Hearing Process*. If a hearing or judicial review approves the reinstatement, the system will prompt the user to enter a **Case History Note**.

6.10.2 If the tribe has decided to release a seized asset, the system will generate a **Notice of Release** (#521) and an **Order to Release** (#535). If a hearing is required, the system will perform the processing in *6.5 Hearing Process*. If a hearing or judicial review approves the release, the system will prompt the the user to enter a **Case History Note**.



6.11 State Enforcement Response

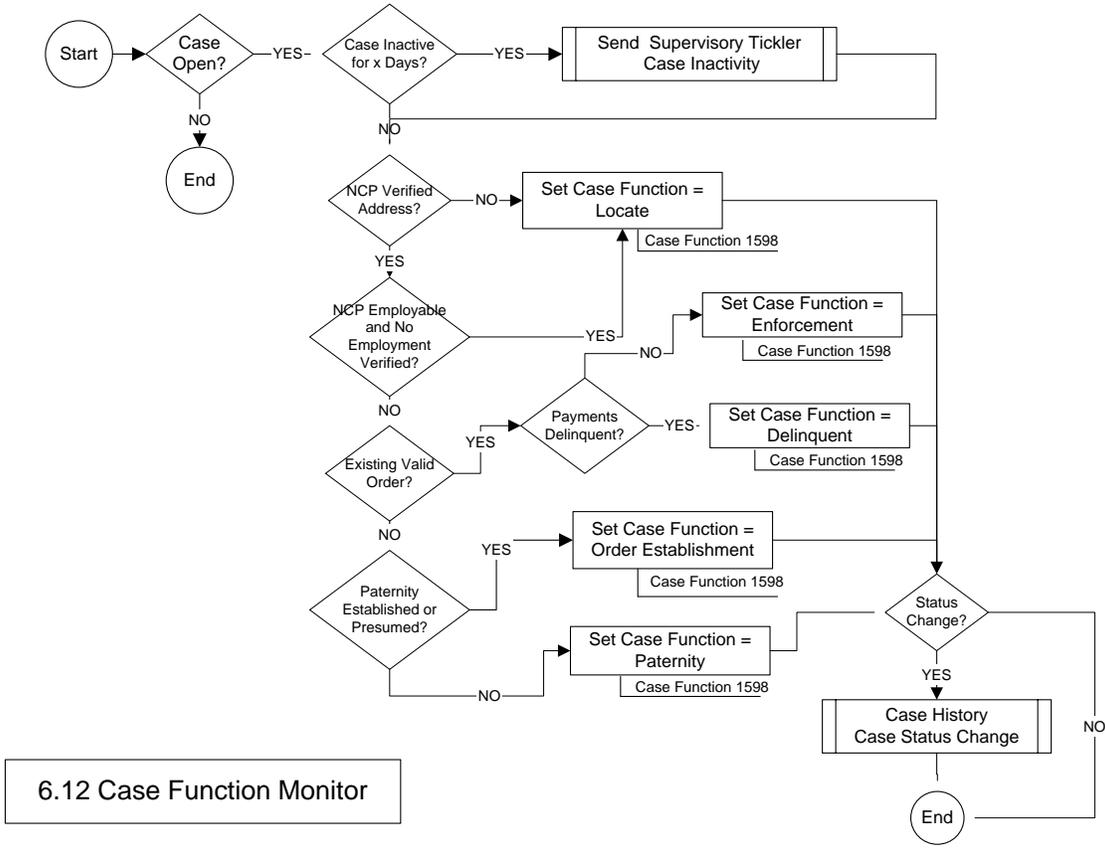
6.11.1 If the tribe has decided to reinstate a state license or to end state offset, the system will generate a ***Child Support Enforcement Transmittal #1*** (#261) and will prompt the user to enter a **Case History Note**.



6.11 State Enforcement Response

6.12 Case Function Monitor

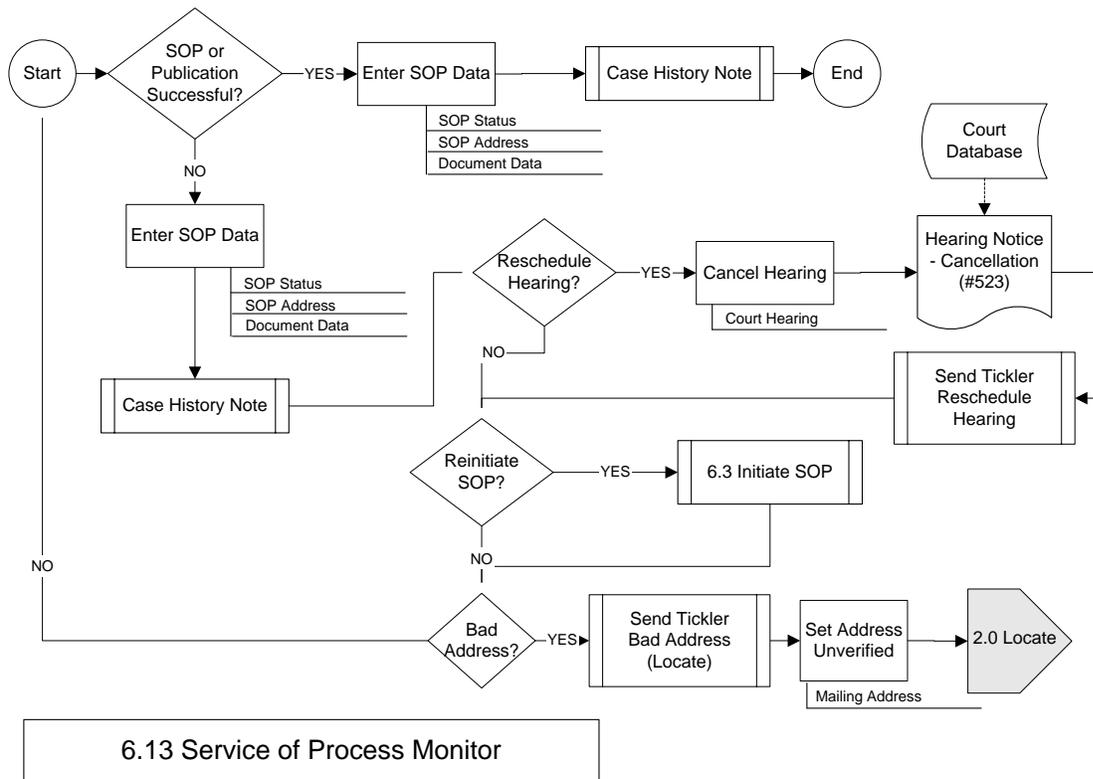
- 6.12.1** If a case has *Open* status and has been inactive for a number of calendar days determined by the tribe, the system will send a Case Inactivity Tickler to the caseworker's supervisor.
- 6.12.2** If a case has "Open" status and the NCP does not have a verified address the system will set the Case Function to "Locate".
- 6.12.3** Deleted
- 6.12.4** If a case has "Open" status, the system will set the Case Function to "Order Establishment" if the NCP has a verified address and is either not employable or has a verified employer and there is no valid child support order and paternity is either established or presumed
- 6.12.5** If a case has "Open" status, the system will set the Case Function to "Paternity" if the NCP has a verified address and is either not employable or has a verified employer and there is no valid child support order and paternity is neither established nor presumed.
- 6.12.6** If a case has "Open" status, the system will set the Case Function to "Enforcement" if the NCP has a verified address and is either not employable or has a verified employer and there is a valid child support order and payments are not delinquent
- 6.12.7** If a case has "Open" status, the system will set the Case Function to "Delinquent" if the NCP has a verified address and is either not employable or has a verified employer and there is a valid child support order and payments are delinquent.
- 6.12.8** If the Case Function has changed, the system will create a Case Status Changed Event.



6.12 Case Function Monitor

6.13 Service of Process Monitor

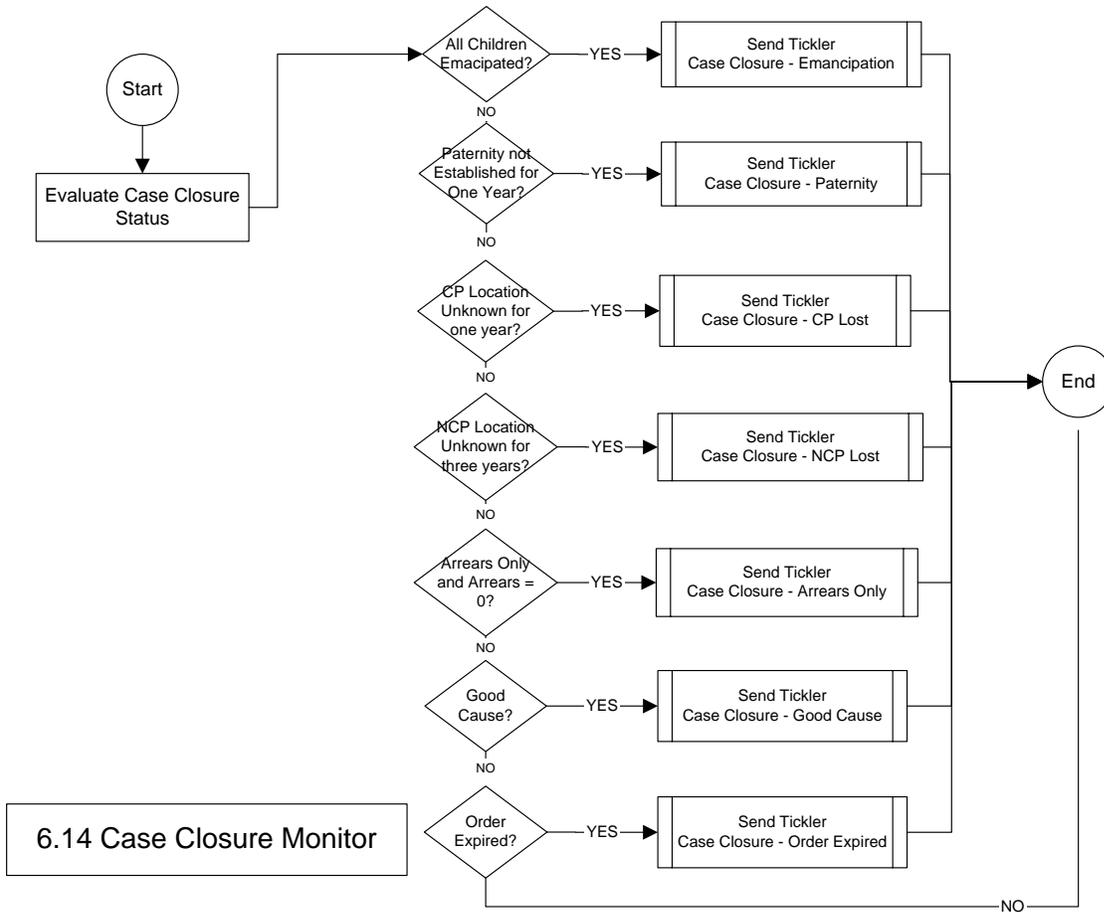
- 6.13.1** If service of process (SOP) or publication has been successful, the system will allow the user to enter data about the service and will prompt the user to enter a Case History Note.
- 6.13.2** If SOP and publication have not been successful, the system will allow the user to enter data about the service failure and will prompt the user to enter a Case History Note.
- 6.13.3** If the caseworker wishes to reschedule the hearing as a result of unsuccessful SOP, the system will generate a Hearing Notice - Cancellation (#523), and will send a Reschedule Hearing Tickler.
- 6.13.4** If the caseworker wishes to reinitiate SOP, the system will support the processing in 6.3 Initiate SOP.
- 6.13.5** If SOP was unsuccessful due to a bad address, the system will send a Bad Address Tickler, set the address as unverified, and support the processing in 2.0 Locate.



Data Groups Referenced:		
Court Hearing	Document Info	NCP Mailing Address
SOP Address	SOP Status	

6.14 Case Closure Monitor

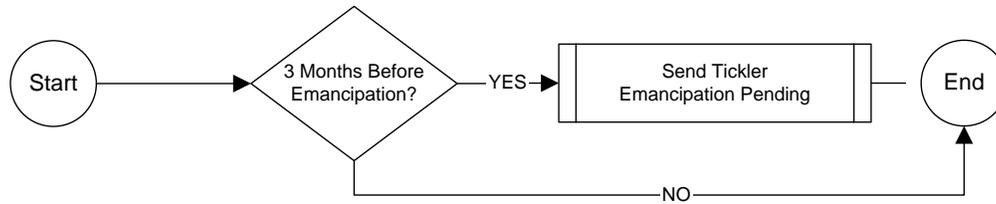
- 6.14.1** If all children on a case have been emancipated, the system will send a Case Closure – Emancipation Tickler. Emancipation occurs for a child when the child's age is equal to the Age of Majority as set by tribal policy and the Child Age Bypass Indicator is not set for that child.
- 6.14.2** If paternity for the NCP on a case has not been established for one year, the system will send a Case Closure – Paternity Tickler.
- 6.14.3** If the location for the CP on a case has been unknown for one year, the system will send a Case Closure – CP Lost Tickler.
- 6.14.4** If the location of an NCP on a case has been unknown for three years, the system will send a Case Closure – NCP Lost Tickler.
- 6.14.5** If a case is arrears only and arrears are \$0, the system will send a Case Closure – Arrears Only Tickler.
- 6.14.6** If Good Cause is set for a case, the system will send a Case Closure – Good Cause Tickler.
- 6.14.7** If the child support order for a case has expired, the system will send a Case Closure – Order Expired Tickler.



6.14 Case Closure Monitor

6.15 Emancipation Monitor

6.15.1 The system will send an Emancipation Pending Tickler, three months before the date of emancipation of any child on a case. Emancipation occurs for a child when the child's age is equal to the Age of Majority as set by tribal policy and the Child Age Bypass Indicator is not set for that child.

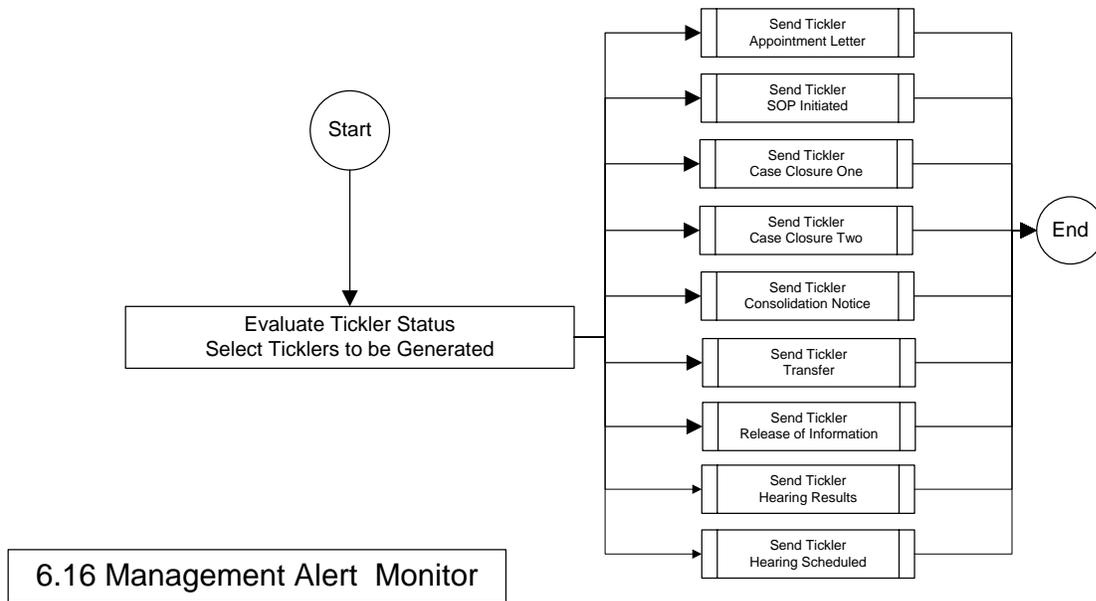


6.15 Emancipation Monitor

6.16 Management Alert Monitor

6.16.1 The system will send the following ticklers on the day specified by the caseworker when setting the tickler:

- 6.16.1-a** Appointment Letter
- 6.16.1-b** SOP Initiated
- 6.16.1-c** Case Closure One
- 6.16.1-d** Case Closure Two
- 6.16.1-e** Consolidation Notice
- 6.16.1-f** Transfer
- 6.16.1-g** Release of Information
- 6.16.1-h** Hearing Scheduled
- 6.16.1-i** Hearing Results



6.16 Management Alert Monitor

6.17 Case and Assistance Type Monitor

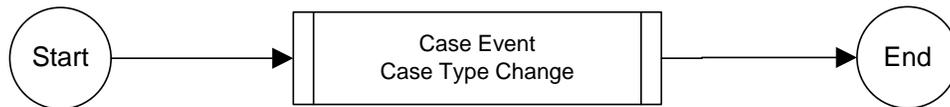
6.17.1 The system will monitor the Case Type and Assistance Type of all cases and automatically change them according to the following rules:

6.17.1-a A Never Assisted IV-D Case will become a Currently Assisted IV-A Case when an active TANF grant is created.

6.17.1-b A Currently Assisted IV-A Case will become a Previously Assisted IV-A Case when an active TANF grant ends.

6.17.1-c A Never Assisted IV-D Case in which the CP has been an NCP in a IV-E case will become a Previously Assisted Former IV-E Case.

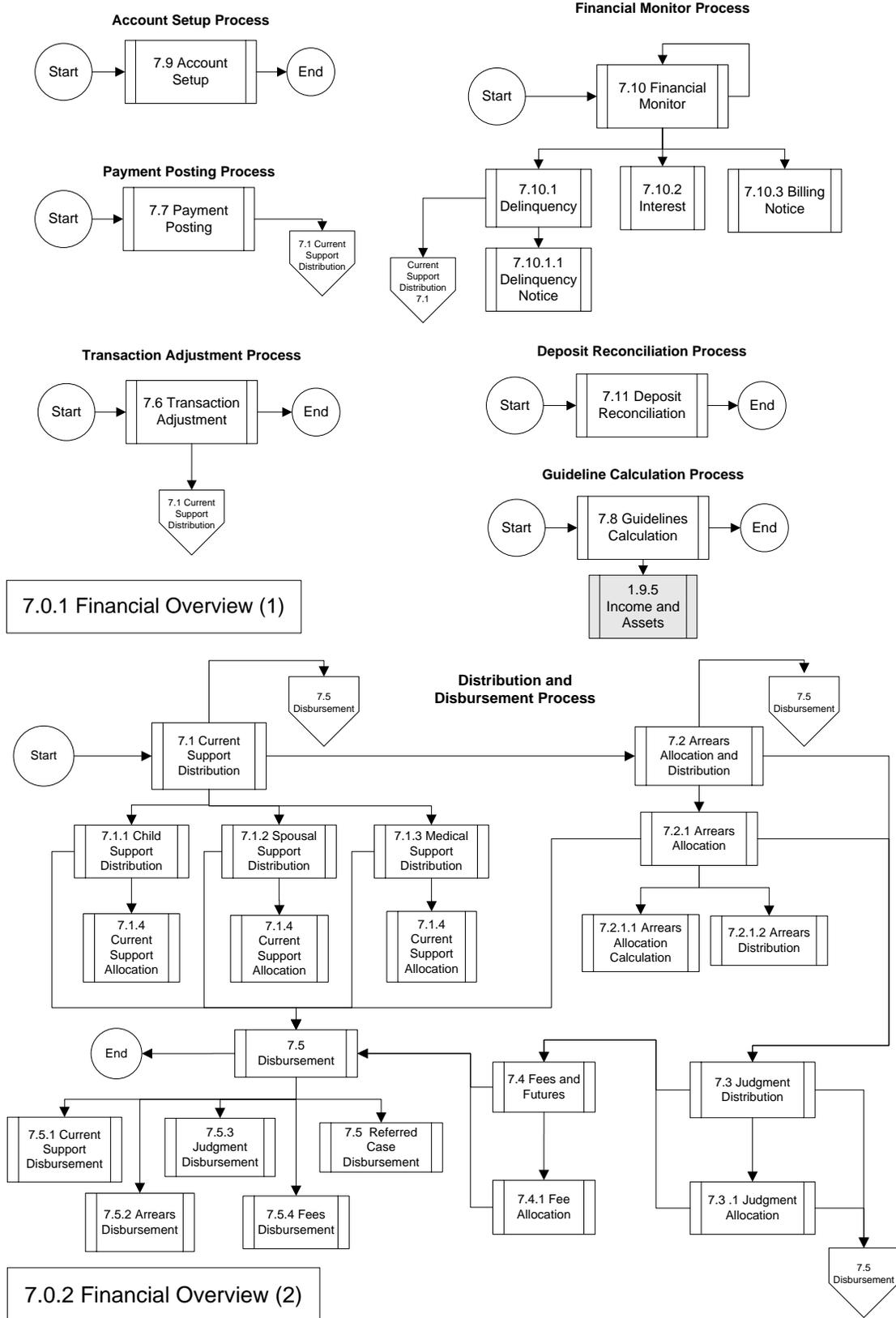
6.17.2 A Case Type Change Case History Event will be generated.



6.17 Case Type Monitor

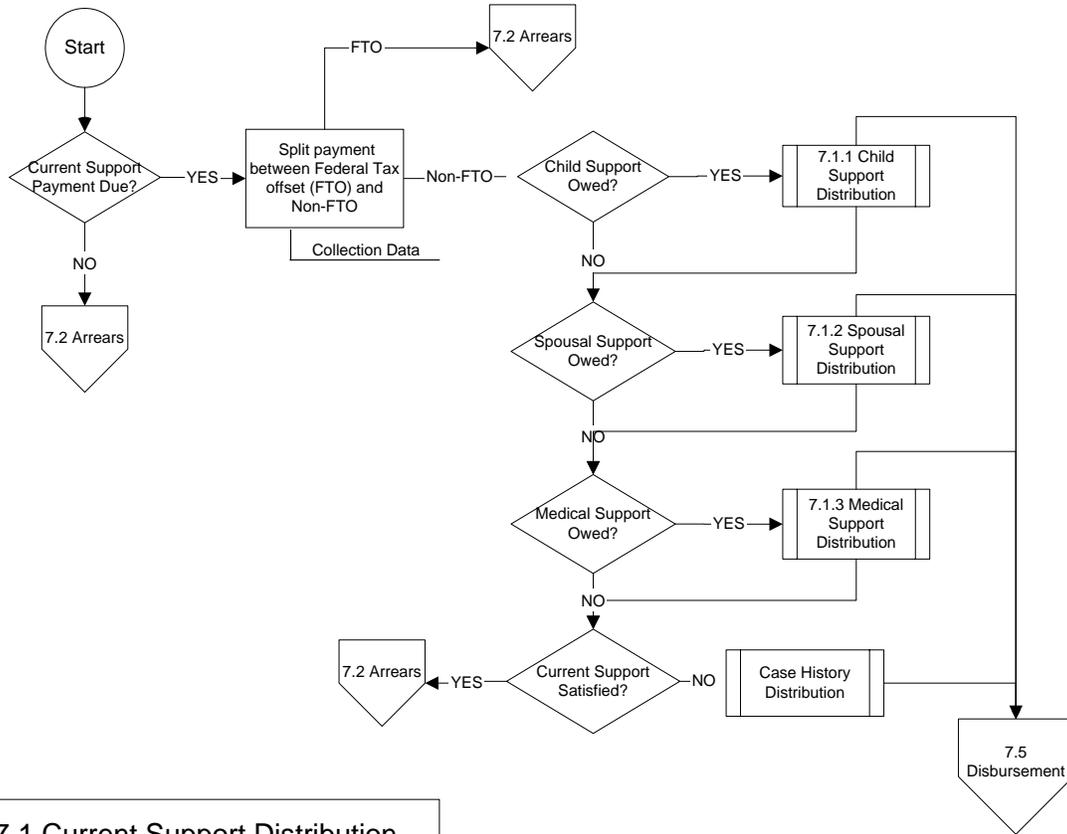
7.0 Financial Process

- 7.0.1** The system will support the setting up of child support accounts by authorized financial workers (*7.9 Account Setup*).
- 7.0.2** The system will permit posting of payments by authorized financial caseworkers (*7.7 Payment Posting*).
- 7.0.3** The system will support authorized financial workers in distributing and disbursing all payments received in accordance with 45 CFR 309.115 (*7.1 Current Support Distribution, 7.2 Arrears Allocation and Distribution, 7.3 Judgment Distribution, 7.4 Fees and Futures, and 7.5 Disbursement*). The detailed distribution algorithm is included as an Appendix in SRS Volume Appendix K.
- 7.0.4** The system will permit adjustments to transactions by authorized financial workers (*7.6 Transaction Adjustments*).
- 7.0.5** The system will support guideline calculations (*7.8 Guidelines Calculation*).
- 7.0.6** The system will monitor for delinquent payments (*7.10 Financial Monitor*).
- 7.0.7** The system will calculate interest on delinquent accounts (*7.10 Financial Monitor*).
- 7.0.8** The system will generate monthly bills (*7.10 Financial Monitor*).
- 7.0.9** The system will calculate Unreimbursed Assistance based on public assistance grants received (*7.10 Financial Monitor*).
- 7.0.10** Payments received via an Alternative Payment Method (In-Kind, Direct, Third Party Direct) will be manually distributed in *7.7 Payment Posting Process* and will not be disbursed.
- 7.0.11** Payments must be deposited before they are distributed.



7.1 Current Support Distribution

- 7.1.1 If a payment has been received and there is no current support due, the system will perform the processing in 7.2 *Arrears Allocation and Distribution*.
- 7.1.2 If a payment has been received and all or part of the payment is due to Federal Tax Offset, the system will support splitting the payment into FTO and non-FTO payments.
- 7.1.3 For FTO payments, the system will perform the processing in 7.2 *Arrears Allocation and Distribution*.
- 7.1.4 For non-FTO payments:
 - 7.1.4-a If Child Support is owed the system will perform the processing in 7.1.1 *Child Support Distribution*.
 - 7.1.4-b If Spousal Support is owed the system will perform the processing in 7.1.2 *Spousal Support Distribution*.
 - 7.1.4-c If Medical Support is owed the system will perform the processing in 7.1.3 *Medical Support Distribution*.
 - 7.1.4-d If Current Support is satisfied, the system will perform the processing in 7.2 *Arrears Allocation and Distribution*.
 - 7.1.4-e If Current Support is not satisfied, the system will perform the processing in 7.5 *Disbursement*.
- 7.1.5 If funds are distributed, the system will create a **Distribution Event**.

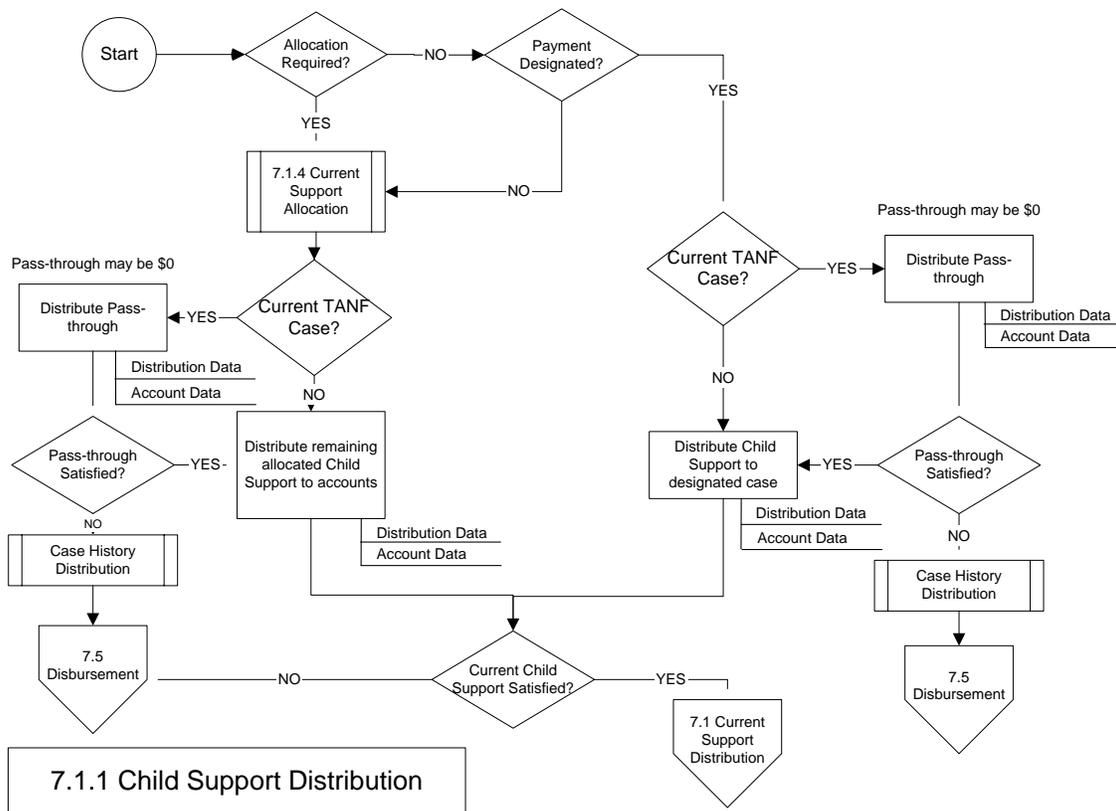


7.1 Current Support Distribution

Data Groups Referenced:		
Collection Data		

7.1.1 Child Support Distribution

- 7.1.1.1 If allocation of the payment is required or the payment is not designated, the system will perform the processing in 7.1.4 *Current Support Allocation*.
- 7.1.1.2 If the case is a current TANF case the system will support distributing a pass-through amount determined by tribal policy directly to the CP.
- 7.1.1.3 If the case is not a current TANF case, the remaining payment will be distributed to child support accounts as allocated or as designated.
- 7.1.1.3.1 If the case is a current TANF case, the remaining payment will be distributed to child support accounts as allocated or as designated.
- 7.1.1.4 If the pass-through has not been satisfied or current child support has not been satisfied, the system will perform the processing in 7.5 *Disbursement*.
- 7.1.1.5 If funds are distributed, the system will create a **Distribution Event**.



Data Groups Referenced:		
Account Data	Distribution Data	

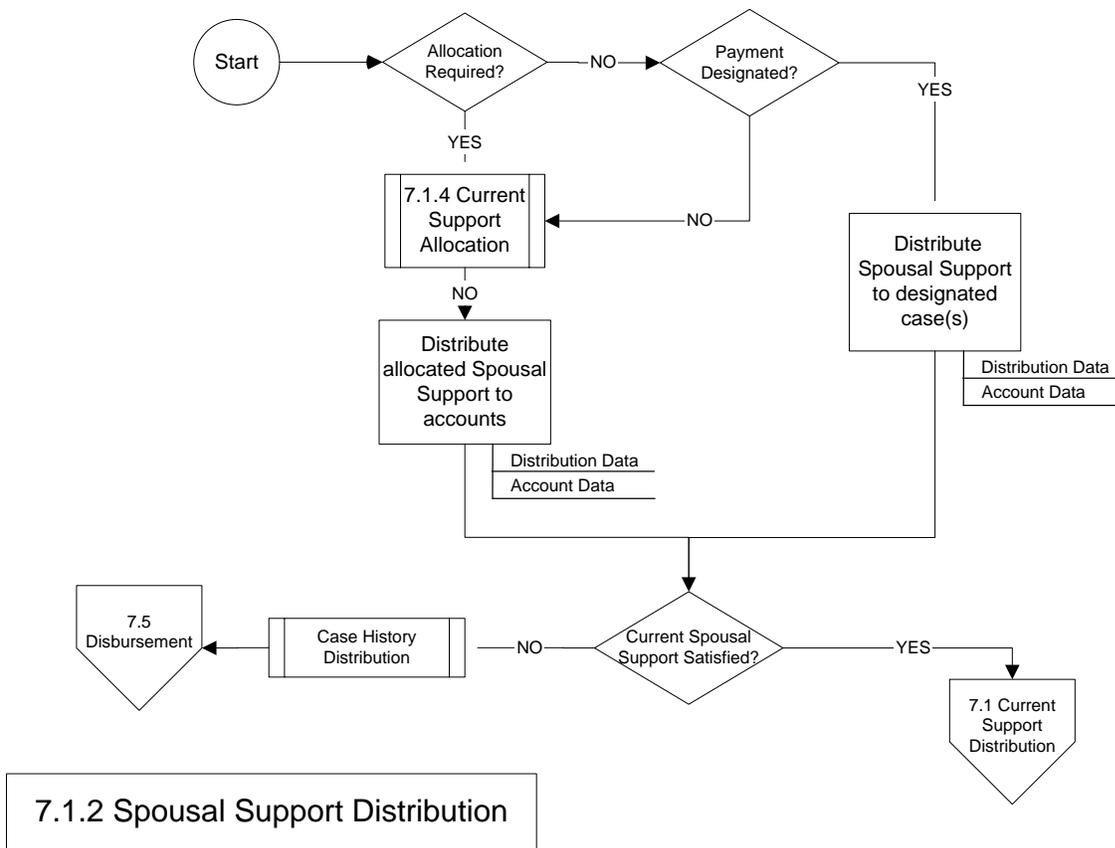
7.1.2 Spousal Support Distribution

7.1.2.1 If allocation of the payment is required or the payment is not designated, the system will perform the processing in 7.1.4 *Current Support Allocation*.

7.1.2.2 The remaining payment will be distributed to spousal support accounts as allocated or as designated.

7.1.2.3 If current spousal support has not been satisfied, the system will perform the processing in 7.5 *Disbursement*.

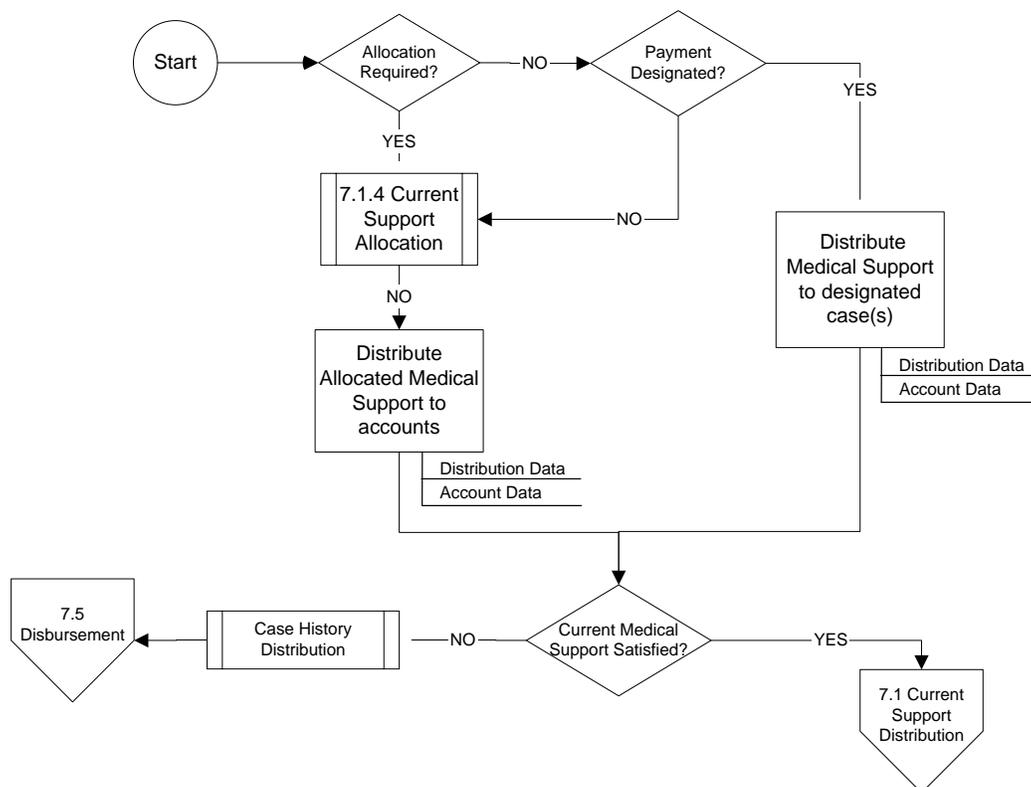
7.1.2.4 If funds are distributed, the system will create a **Distribution Event**.



Data Groups Referenced:		
Account Data	Distribution Data	

7.1.3 Medical Support Distribution

- 7.1.3.1 If allocation of the payment is required or the payment is not designated, the system will perform the processing in 7.1.4 *Current Support Allocation*.
- 7.1.3.2 The remaining payment will be distributed to medical support accounts as allocated or as designated.
- 7.1.3.3 If current medical support has not been satisfied, the system will perform the processing in 7.5 *Disbursement*.
- 7.1.3.4 If funds are distributed, the system will create a **Distribution Event**.



7.1.3 Medical Support Distribution

Data Groups Referenced:		
Account Data	Distribution Data	

7.1.4 Current Support Allocation

7.1.4.1 The system will perform automatic calculation of an allocation percentage for each case as follows:

7.1.4.1-a $X = \text{Monthly Child/Spousal/Medical Support obligation for the case;}$

7.1.4.1-b $Y = \text{Sum of monthly Child/Spousal/Medical obligations for all cases;}$

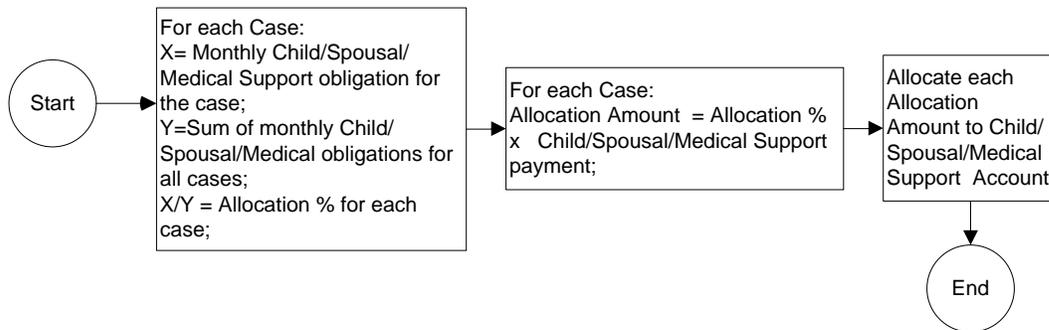
7.1.4.1-c $X/Y = \text{Allocation Percentage for each case;}$

7.1.4.2 The system will support the manual selection of cases for allocation.

7.1.4.3 The system will calculate an Allocation Amount for each case as follows:

7.1.4.3-a $\text{Allocation Amount} = \text{Allocation Percentage} \times \text{Child/Spousal/Medical Support payment;}$

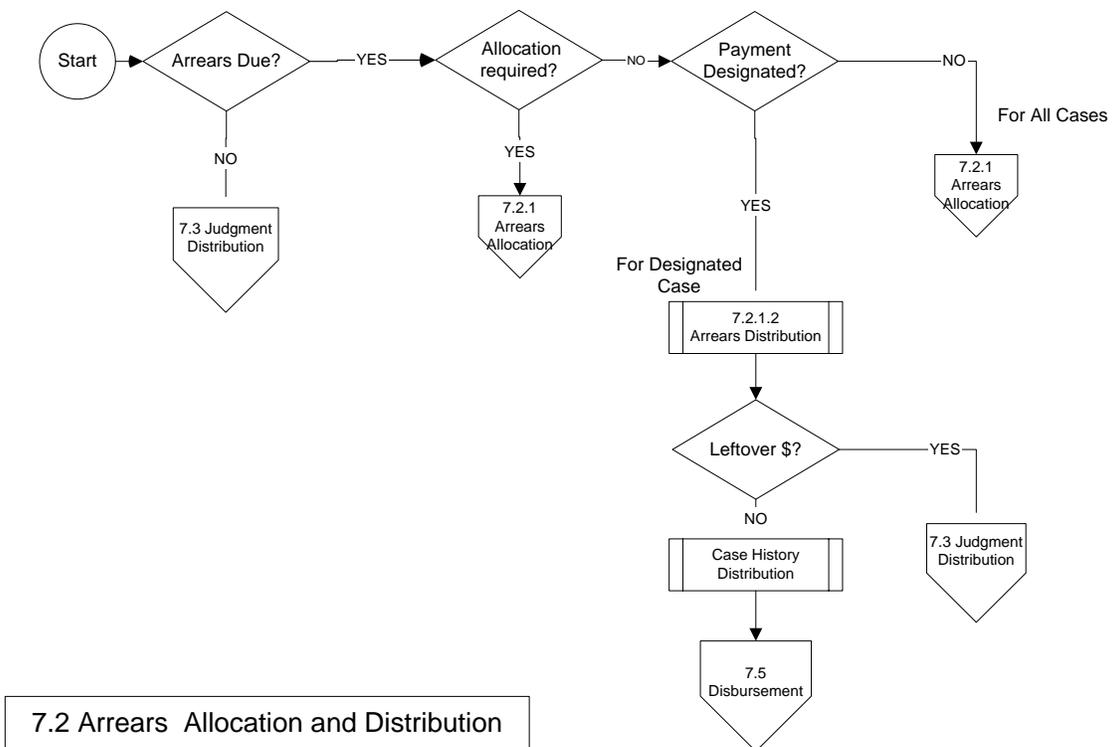
7.1.4.4 The system will allocate each Allocation Amount to the appropriate Child/Spousal/Medical Support Account.



7.1.4 Current Support Allocation

7.2 Arrears Allocation and Distribution

- 7.2.1** If a payment has been received and there are no arrears due, the system will perform the processing in 7.3 *Judgment*.
- 7.2.2** If allocation is required or the payment is not designated, the system will perform the processing in 7.2.1 *Arrears Allocation*.
- 7.2.3** If allocation is not required and the payment is designated, the system will perform the processing in 7.2.1.2 *Arrears Distribution* for the designated case.
- 7.2.4** If there are leftover dollars the system will perform the processing in 7.3 *Judgment*. If there are no leftover dollars the system will perform the processing in 7.5 *Disbursement*.
- 7.2.5** If funds are distributed, the system will create a **Distribution Event**.



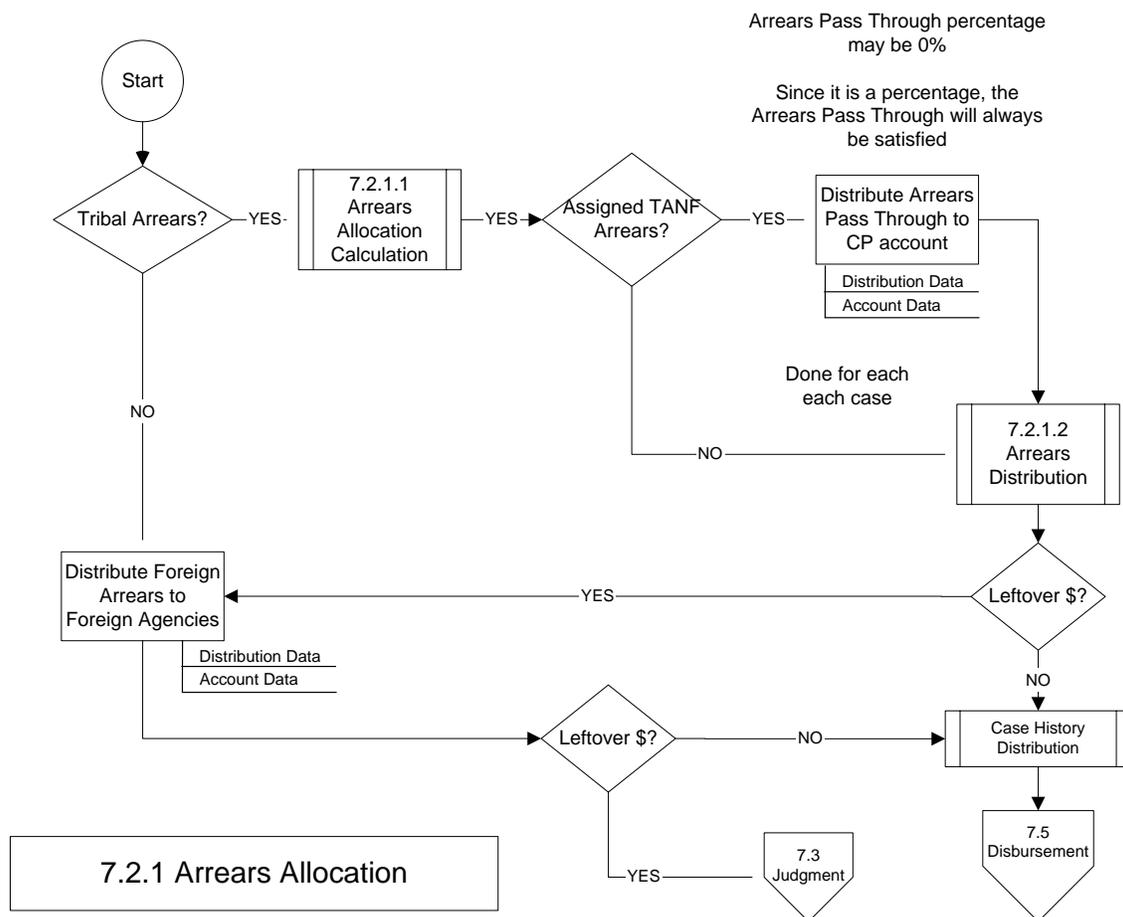
Data Groups Referenced:		
Account Data	Distribution Data	

7.2.1 Arrears Allocation

7.2.1.1 If there are no tribal arrears, the system will distribute payments to foreign arrears accounts. If there are leftover dollars the system will perform the processing in 7.3 *Judgment*. If there are no leftover dollars the system will perform the processing in 7.5 *Disbursement*.

7.2.1.2 If there are tribal arrears, the system will perform the processing in 7.2.1.1 *Arrears Allocation Calculation*, then distribute the assigned TANF arrears pass-through, if any, and perform the processing in 7.2.1.2 *Arrears Distribution*. If there are leftover dollars, the system, will distribute them to foreign arrears accounts. If there are still leftover dollars the system will perform the processing in 7.5 *Disbursement*.

7.2.1.3 If funds are distributed, the system will create a **Distribution Event**.



Data Groups Referenced:		
Account Data	Distribution Data	

7.2.1.1 Arrears Allocation Calculation

7.2.1.1.1 The system will perform automatic calculation of an allocation percentage for each case as follows:

7.2.1.1.1-a X = Monthly Arrears obligation for the case;

7.2.1.1.1-b Y = Sum of monthly Arrears obligations for all cases;

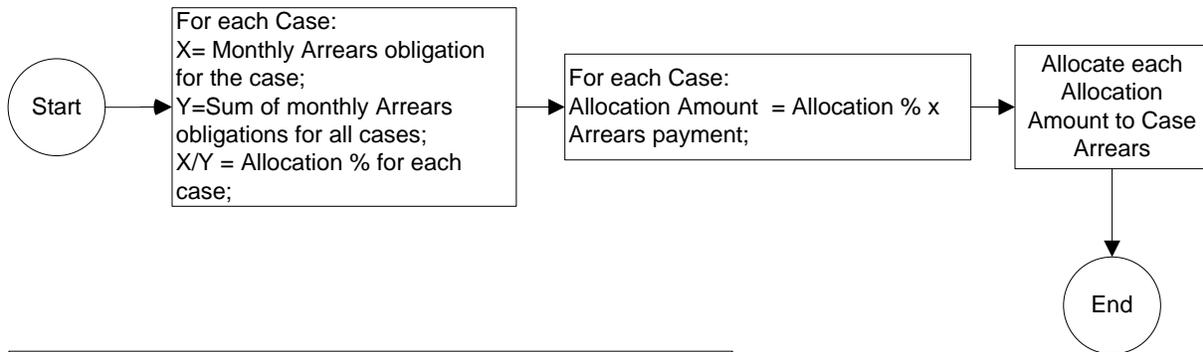
7.2.1.1.1-c X/Y = Allocation Percentage for each case.

7.2.1.1.2 The system will support the manual selection of cases for allocation.

7.2.1.1.3 The system will calculate an Allocation Amount for each case as follows:

7.2.1.1.3-a Allocation Amount = Allocation Percentage x Arrears payment.

7.2.1.1.4 The system will distribute each Allocation Amount to the appropriate Arrears Account.



7.2.1.1 Arrears Allocation Calculation

7.2.1.2 Arrears Distribution

7.2.1.2.1 If current TANF assigned arrears are not satisfied, the system will support the distributions of the remainder of the payment to the current TANF assigned arrears accounts.

7.2.1.2.2 If there are leftover dollars and the current TANF assigned arrears are satisfied and custodial arrear are not satisfied, the system will support the distributions of the remainder of the payment to the custodial arrears accounts, according to the hierarchy:

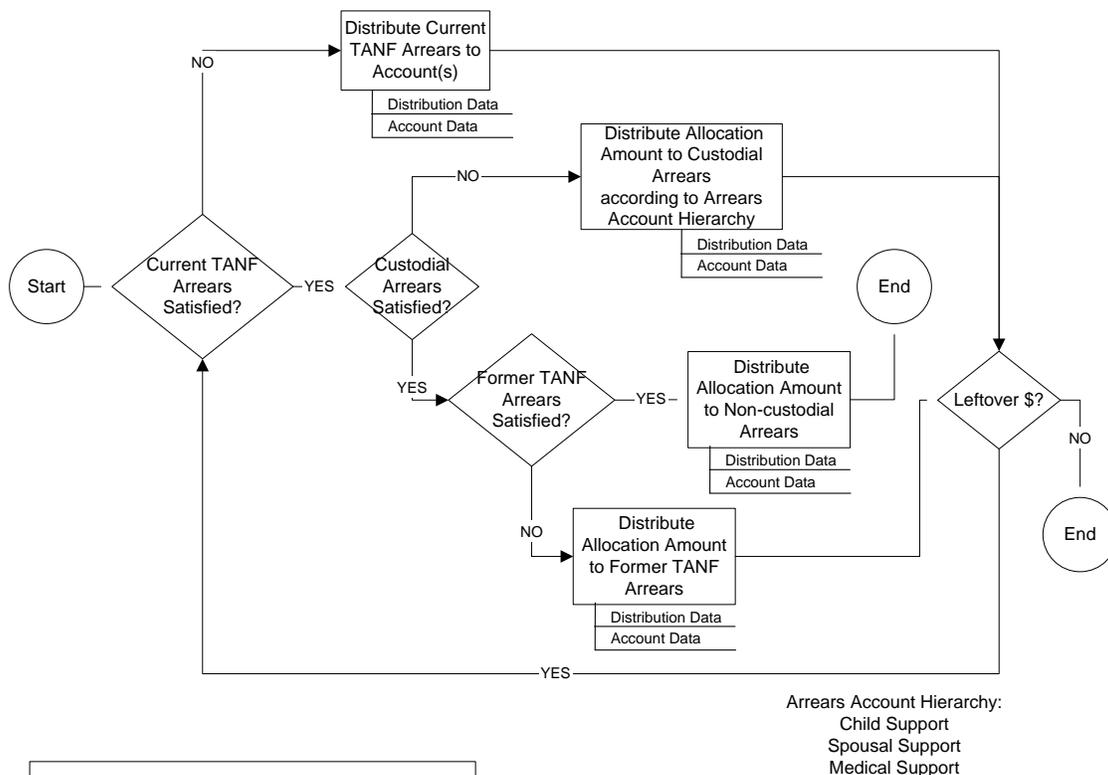
7.2.1.2.2-a Child Support Arrears

7.2.1.2.2-b Spousal Support Arrears

7.2.1.2.2-c Medical Support Arrears

7.2.1.2.3 If there are leftover dollars and current TANF assigned arrears are satisfied and custodial arrear are satisfied, the system will support the distributions of the remainder of the payment to the former TANF arrears accounts, according to the hierarchy.

7.2.1.2.4 If there are leftover dollars and current TANF assigned arrears are satisfied and custodial arrear are satisfied and former TANF arrears are satisfied, the system will support the distributions of the remainder of the payment to noncustodial arrears accounts.

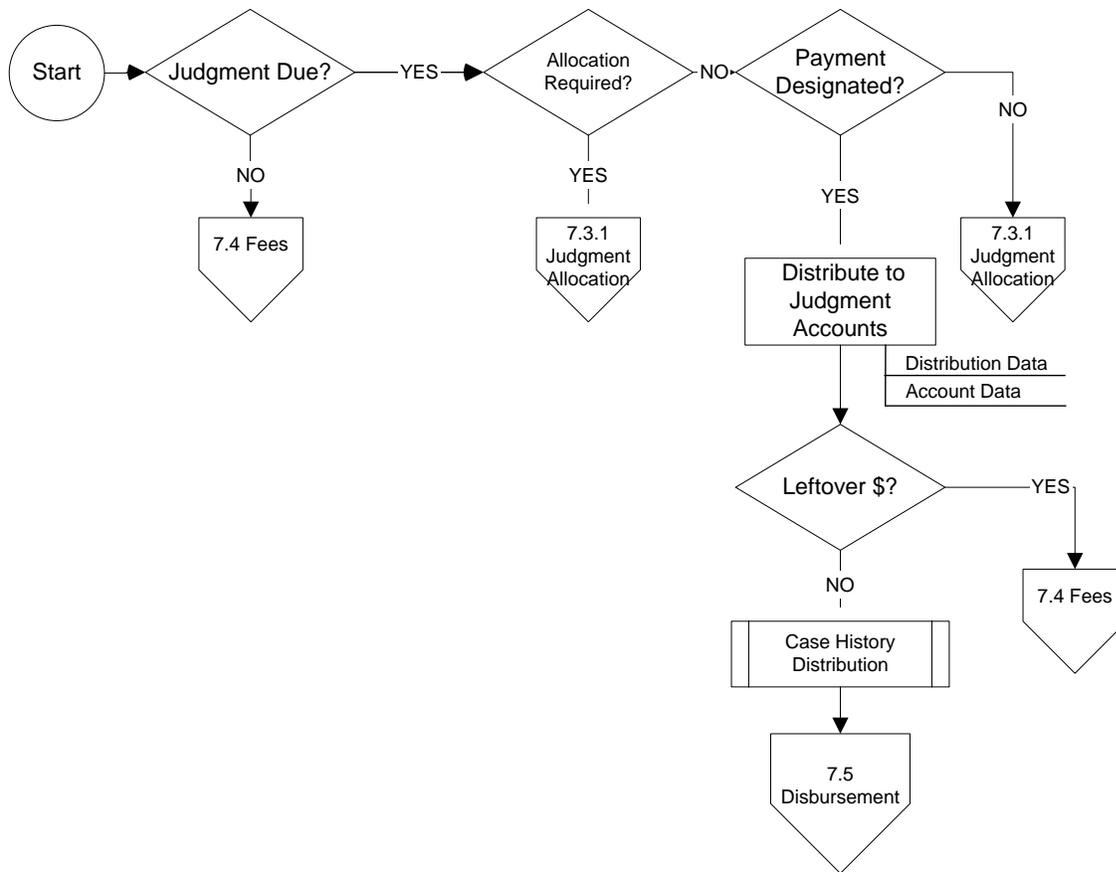


7.2.1.2 Arrears Distribution

Data Groups Referenced:		
Account Data	Distribution Data	

7.3 Judgment Distribution

- 7.3.1 If a payment has been received and there are no judgments owed, the system will perform the processing in 7.4 Fees.
- 7.3.2 If allocation is required or the payment is not designated, the system will perform the processing in 7.3.1 Judgment Allocation.
- 7.3.3 If allocation is not required and the payment is designated, the system will distribute the payment to Judgment accounts as designated.
- 7.3.4 If there are leftover dollars the system will perform the processing in 7.4 Fees. If there are no leftover dollars the system will perform the processing in 7.5 Disbursement.
- 7.3.5 If funds are distributed, the system will create a **Distribution Event**.



7.3 Judgment Distribution

Data Groups Referenced:		
Account Data	Distribution Data	

7.3.1 Judgment Allocation

7.3.1.1 The system will perform automatic calculation of an allocation percentage for each case as follows:

7.3.1.1-a X = Monthly Judgment obligation for the case;

7.3.1.1-b Y = Sum of monthly Judgment obligations for all cases;

7.3.1.1-c X/Y = Allocation Percentage for each case.

7.3.1.2 The system will support the manual selection of cases for allocation.

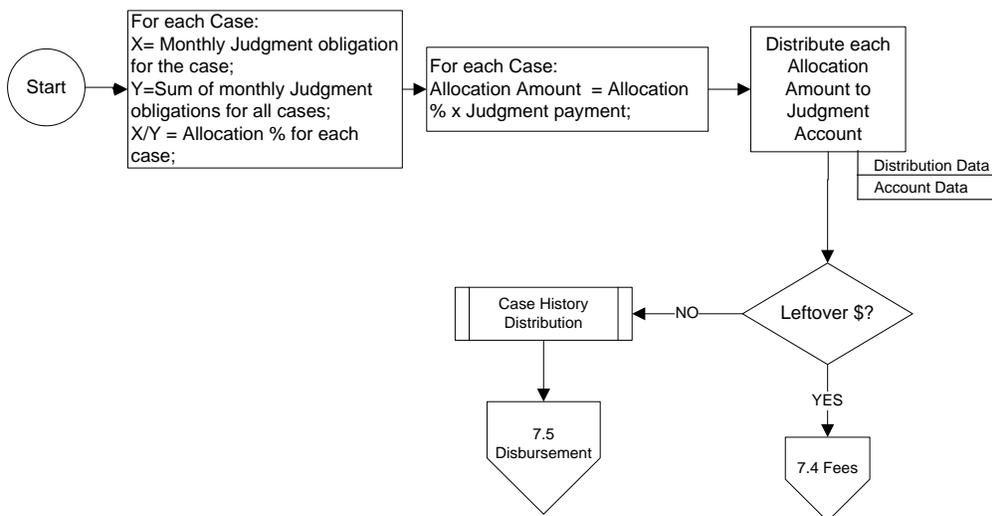
7.3.1.3 The system will calculate an Allocation Amount for each case as follows:

7.3.1.3-a Allocation Amount = Allocation Percentage x Arrears payment.

7.3.1.4 The system will distribute each Allocation Amount to the appropriate Judgment Account.

7.3.1.5 If there are leftover dollars the system will perform the processing in *7.4 Fees*. If there are no leftover dollars the system will perform the processing in *7.5 Disbursement*.

7.3.1.6 If funds are distributed, the system will create a **Distribution Event**.

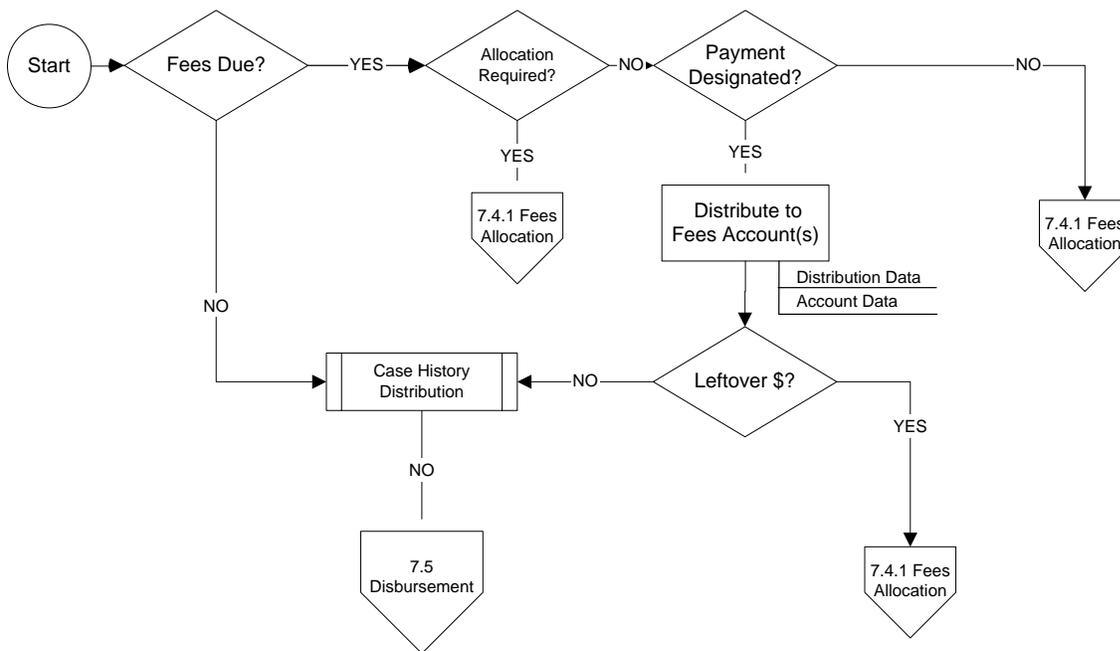


7.3.1 Judgment Allocation

Data Groups Referenced:		
Account Data	Distribution Data	

7.4 Fees and Futures

- 7.4.1 If a payment has been received and there are no fees owed, the system will perform the processing in 7.5 *Disbursement*.
- 7.4.2 If allocation is required or the payment is not designated, the system will perform the processing in 7.4.1 *Fees Allocation*.
- 7.4.3 If allocation is not required and the payment is designated, the system will distribute the payment to Fee Accounts as designated.
- 7.4.4 If there are leftover dollars the system will perform the processing in 7.4.1 *Fees Allocation*. If there are no leftover dollars the system will perform the processing in 7.5 *Disbursement*.
- 7.4.5 If funds are distributed, the system will create a **Distribution Event**.



7.4 Fees and Futures

Data Groups Referenced:		
Account Data	Distribution Data	

7.4.1 Fee Allocation

7.4.1.1 The system will perform automatic calculation of an allocation percentage for each case as follows:

7.4.1.1-a X = Monthly fee obligation for the case;

7.4.1.1-b Y = Sum of monthly fee obligations for all cases;

7.4.1.1-c X/Y = Allocation Percentage for each case

7.4.1.2 The system will support the manual selection of cases for allocation.

7.4.1.3 The system will calculate an Allocation Amount for each case as follows:

7.4.1.3-a Allocation Amount = Allocation Percentage x Arrears payment.

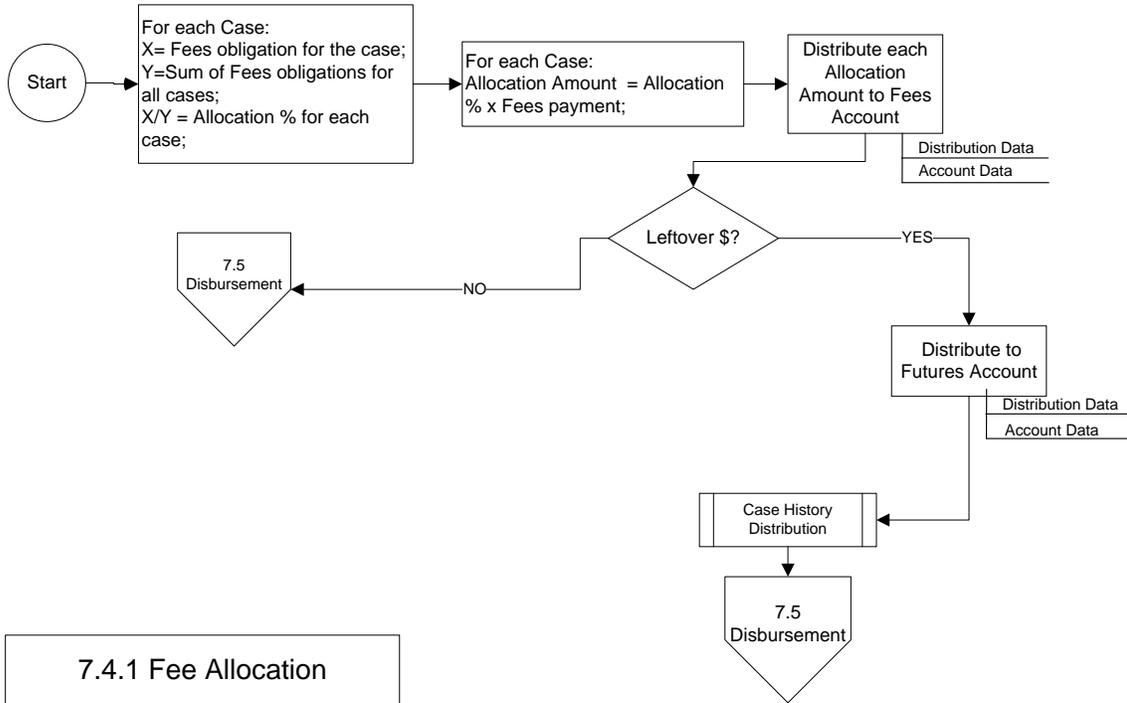
7.4.1.4 The system will distribute each Allocation Amount to the appropriate Fee Account.

7.4.1.5 If there are leftover dollars the system will distribute the remainder to a Futures Account.

7.4.1.6 Deleted

7.4.1.7 If there are no leftover dollars the system will perform the processing in 7.5 *Disbursement*.

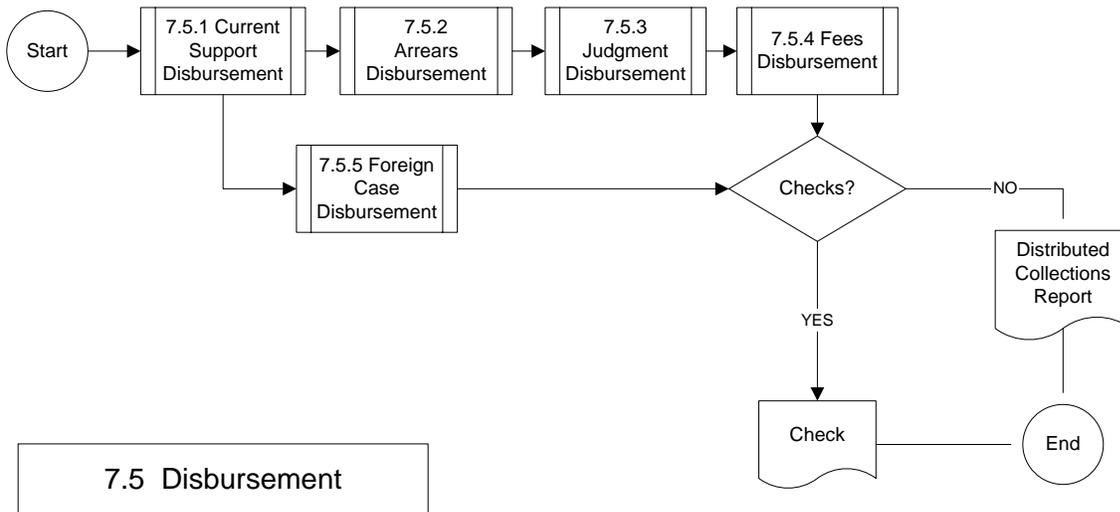
7.4.1.8 If funds are distributed, the system will create a **Distribution Event**.



Data Groups Referenced:		
Account Data	Distribution Data	

7.5 Disbursement

- 7.5.1** If the case is a foreign case the system will perform the processing in *7.5.5 Foreign Case Disbursement*.
- 7.5.2** If the case is not a foreign case the system will perform the processing in *7.5.1 Current Support Disbursement*, *7.5.2 Arrears Disbursement*, *7.5.3 Judgment Disbursement*, *7.5.4 Fees Disbursement*
- 7.5.3** If the system is configured to disburse payments, the system will produce Checks or Electronic Funds Transfer (EFT) transactions. If the system is not configured to disburse payments, it will produce a Disbursement Check Report.
- 7.5.4** Payments received via an Alternative Payment Method (In-Kind, Direct, Third Party Direct) will not be disbursed.



7.5.1 Current Support Disbursement

7.5.1.1 The system will support the entry of disbursement addresses and the association of disbursement amounts to these addresses. Amounts associated with these addresses will be set to \$0 after each disbursement. These disbursement addresses would typically be:

7.5.1.1-a Address # 1 – CP (includes tribal Foster Care and Kinship Care agencies)

7.5.1.1-b Address #2 – TANF agency

7.5.1.1-c Address #3 – Tribal CSE agency

7.5.1.1-d Address #4 – Tribal Court **7.5.1.1-e** Address #5+ - Other agencies

7.5.1.2 Unassigned distributed child support payment amounts will be added to the sum for Address #1.

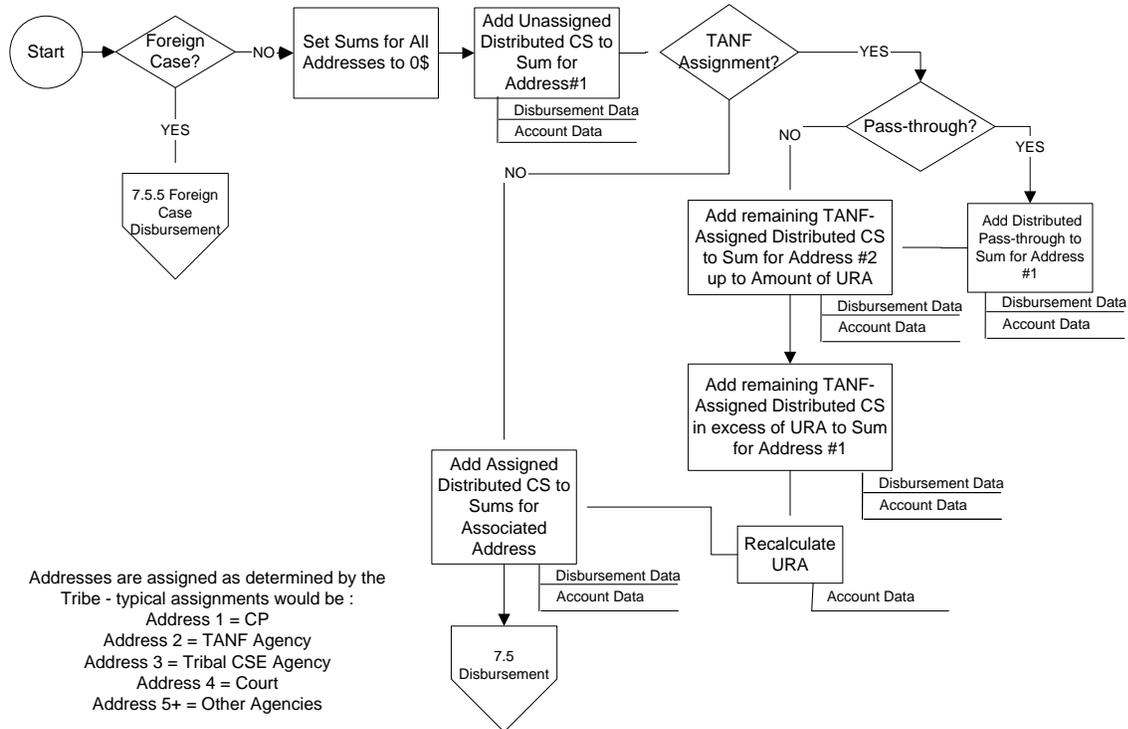
7.5.1.3 If the case has a TANF assignment then the distributed pass-through amount, if any, will be added to the sum for Address #1.

7.5.1.4 Deleted

7.5.1.5 If the case has TANF assignment and there is no pass-through or the pass-through has been satisfied, then the remaining distributed child support amount assigned to TANF up to the amount of Unreimbursed Assistance will be added to the sum for Address #2. Any amount assigned to TANF in excess of Unreimbursed Assistance will be added to the sum for Address#1.

7.5.1.6 Unreimbursed Assistance for each case with a TANF assignment will be recalculated based on the disbursements made in 7.5.1.3 through 7.5.1.5 .

7.5.1.7 The remaining distributed child support amounts will be added to the sum for the address associated with their assignments.



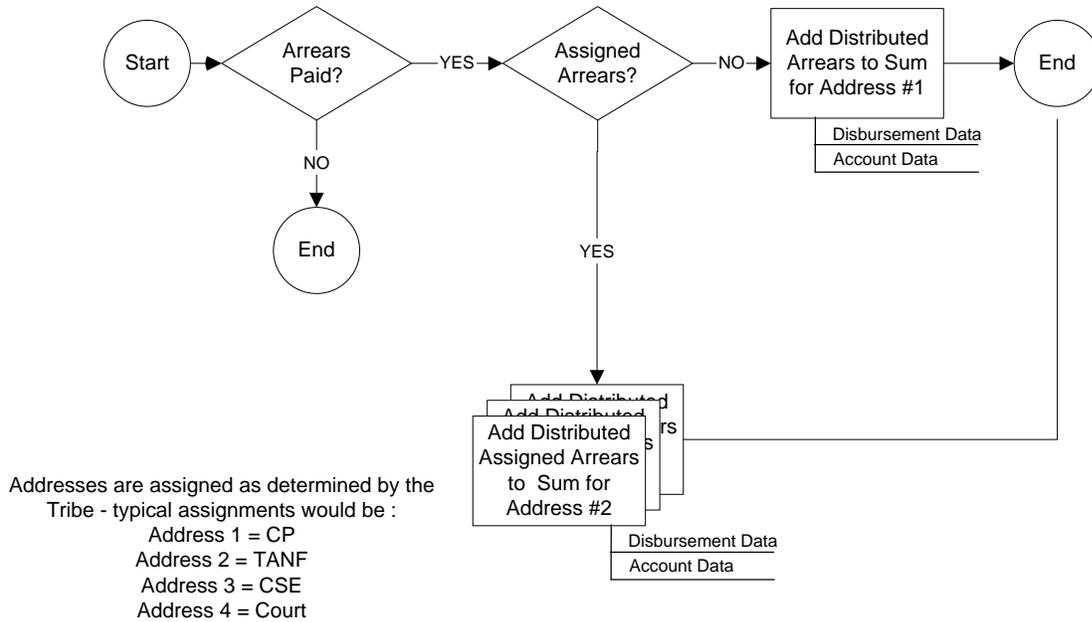
7.5.1 Current Support Disbursement

Data Groups Referenced:		
Account Data	Disbursement Data	TANF Grant Data

7.5.2 Arrears Disbursement

7.5.2.1 If arrears are not assigned then the distributed arrears will be added to the sum for Address #1.

7.5.2.2 If arrears are assigned then the distributed arrears will be added to the sum for the address associated with the assignments.



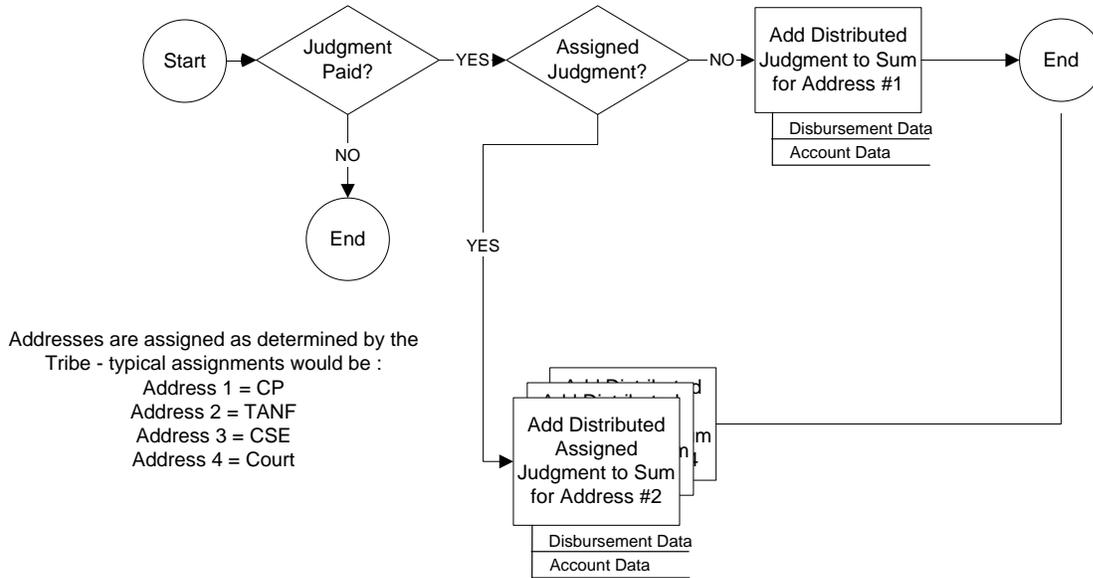
7.5.2 Arrears Disbursement

Data Groups Referenced:		
Account Data	Disbursement Data	

7.5.3 Judgment Disbursement

7.5.3.1 If judgments are not assigned then the distributed judgments will be added to the sum for Address #1.

7.5.3.2 If judgments are assigned then the distributed arrears will be added to the sum for the address associated with the assignments.

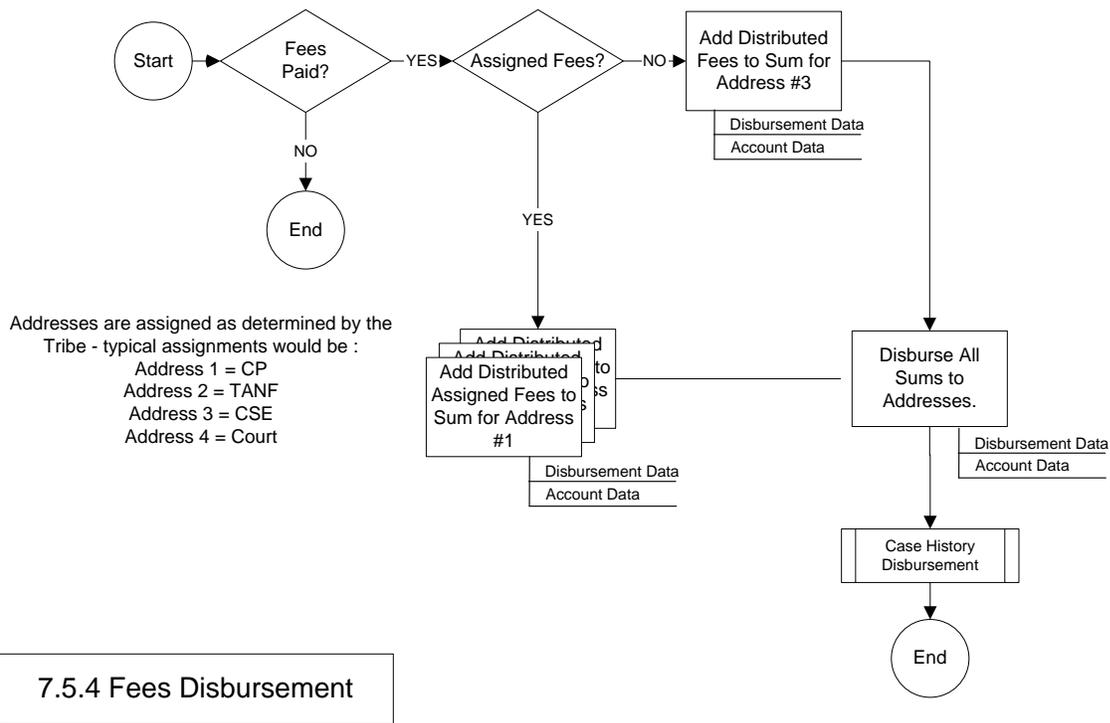


7.5.3 Judgment Disbursement

Data Groups Referenced:		
Account Data	Disbursement Data	

7.5.4 Fees Disbursement

- 7.5.4.1 If fees are not assigned then the distributed arrears will be added to the sum for Address #3.
- 7.5.4.2 If fees are assigned then the distributed arrears will be added to the sum for the address associated with the assignments.
- 7.5.4.3 All sums will be disbursed to their respective addresses.
- 7.5.4.4 If funds are disbursed, the system will create a **Disbursement Event**.

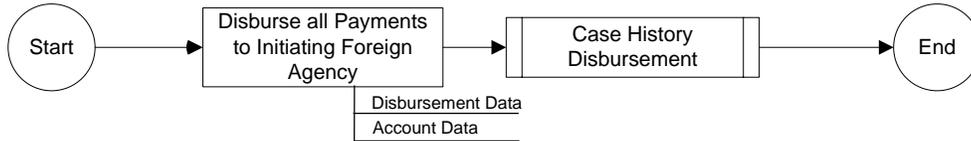


Data Groups Referenced:		
Account Data	Disbursement Data	

7.5.5 Foreign Case Disbursement

7.5.5.1 If the payment being distributed is for a foreign case, the system will disburse the entire payment to the initiating foreign agency.

7.5.5.2 If funds are disbursed, the system will create a **Disbursement Event**.

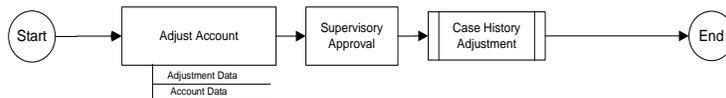


7.5.5 Foreign Case Disbursement

Data Groups Referenced:		
Account Data	Disbursement Data	

7.6 Adjustments

- 7.6.1** The system will support supervisory approval of all adjustments.
- 7.6.2** The system will allow account adjustments required by checks with non-sufficient funds (NSF).
- 7.6.3** If a payment has been posted to the wrong account, the system will allow the debiting of the wrong account and the crediting of the correct account by the same amount.
- 7.6.4** If an incorrect payment amount has been posted to an account, the system will allow the debiting or crediting of the support account and or the arrears account if necessary.
- 7.6.5** The system will support balance adjustments to all debt accounts
- 7.6.6** If tribal policy requires distribution after an adjustment, then *7.1 Current Support Distribution* will be processed.
- 7.6.7** Deleted
- 7.6.8** The system will support the canceling and reissuing of checks
- 7.6.9** The system will support write-offs from debt accounts
- 7.6.10** The system will support adjustments of futures accounts, manual distributions from futures accounts, and refunds to the NCP from futures accounts.
- 7.6.11** The system will support adjustments of system accounts.
- 7.6.12** All adjustments will create an **Adjustment Event**.

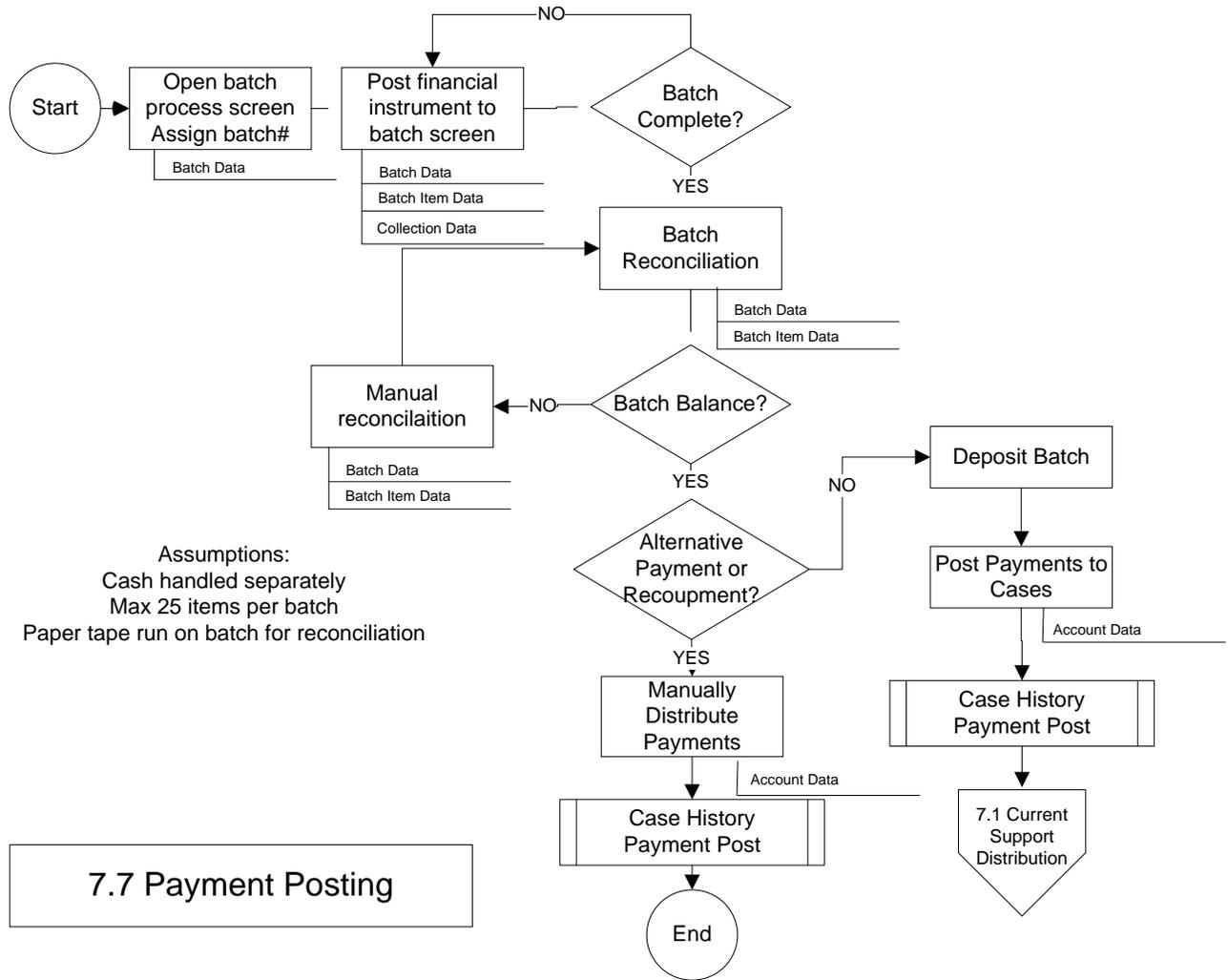


7.6 Transaction Adjustment

Data Groups Referenced:		
Account Data	Adjustment Data	Futures Account

7.7 Payment Posting

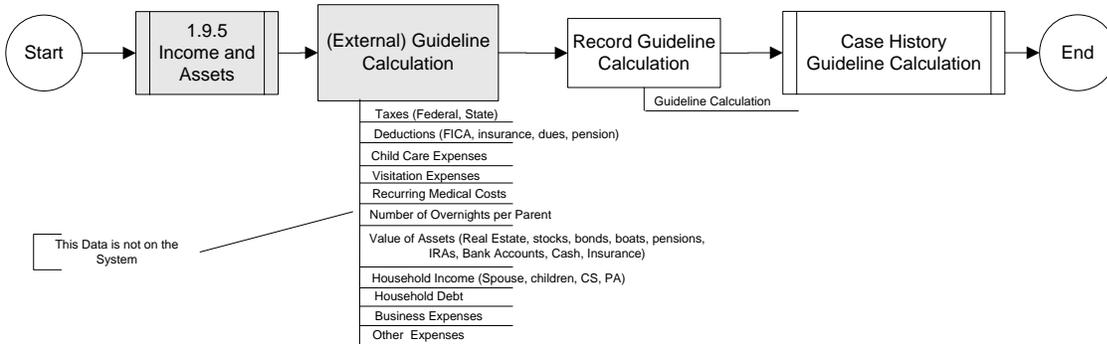
- 7.7.1 The system will allow the entry of payment information in unique numbered and dated batches of not more than 25 payments. Each payment will have a unique batch number.
- 7.7.2 The system will allow the financial worker to enter information about each payment, including payment type, payment amount, payment date, case number, check number, payor name, posting data and time, and payment designation information.
 - 7.7.2.1 The system will support the association of a hold date with a payment to be distributed at a future date.
- 7.7.3 The system will sum the payments in each batch and support the reconciliation of the batch with external calculations. After reconciliation, the system will post payment to accounts and support the processing *7.1 Current Support Distribution*.
- 7.7.4 The system will create a **Payment Post Event** if payments are posted.
- 7.7.5 The system will generate a ***Payments in a Deposit Report*** to support a separate deposit for each batch. Payments must be marked as deposited before they can be distributed.
- 7.7.6 Deleted
- 7.7.7 The system will support the processing of payments with an unidentified payor as follows:
 - 7.7.7-a The system will allow the financial worker to select individual payments and mark them as Unidentified.
 - 7.7.7-b The system will not distribute or disburse Unidentified payments.
 - 7.7.7-c Unidentified payments will be added to an Unidentified System Account.
 - 7.7.7-d The financial worker will be able to select payments previously marked as Unidentified and designate them to a payor for normal distribution.
- 7.7.8 The system will support the posting of Alternative Payments, including In-Kind and Direct Payments, as follows:
 - 7.7.8-a In-Kind payments will be identified and manually distributed as part of the payment post process. In-Kind payments may only be allocated and distributed obligations where the CP is the payee.
 - 7.7.8-b Direct payments from the NCP to the CP will be identified and manually distributed as part of the payment post process.
 - 7.7.8-c Direct payments from a Third Party (such as an employer) to a foreign jurisdiction will be identified and manually distributed as part of the payment post process.
- 7.7.9 Recoupment payments from the CP to the NCP or a Third Party will be identified and manually distributed as part of the payment post process.



Data Groups Referenced:		
Account Data	Batch Data	Batch Item Data
Collection Data		

7.8 Guidelines Calculation

7.8.1 The system will support the recording of data from guideline calculations, including the calculated support amount, the amount of deviation of the actual order from the calculated amount, the reason for deviation, and a text narrative.

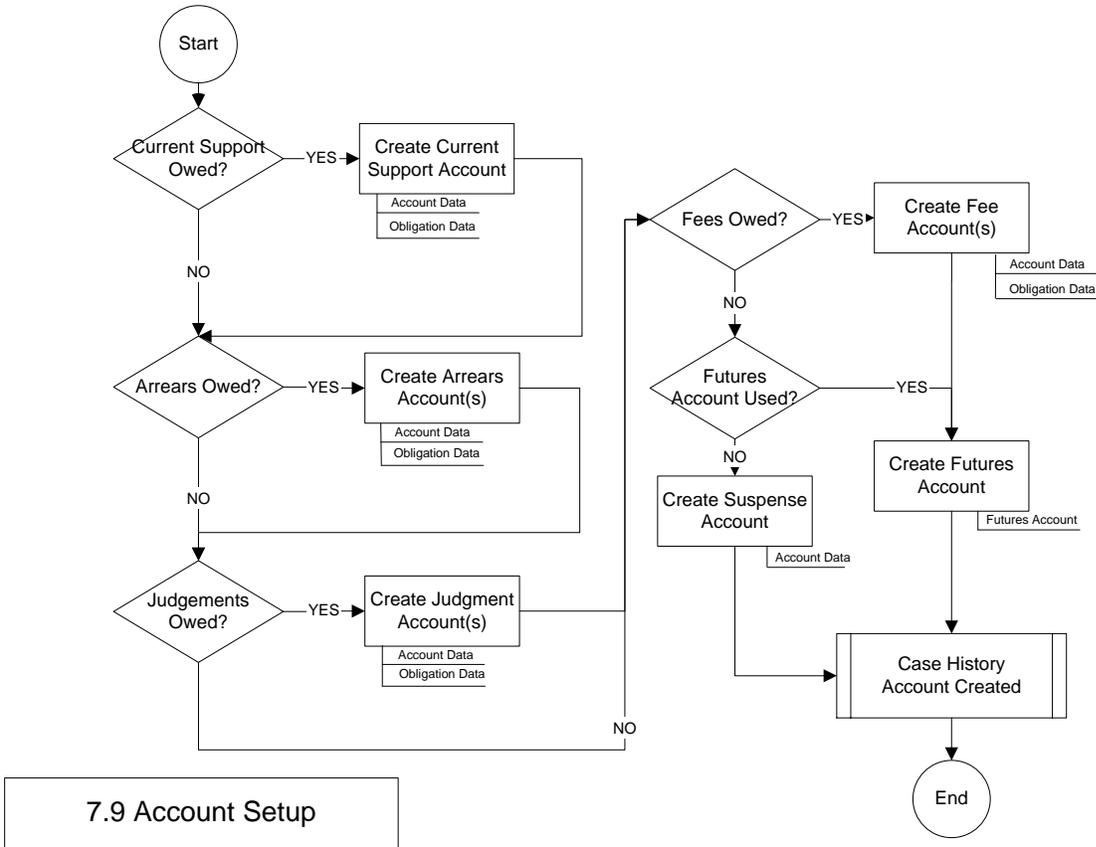


7.8 Guidelines Calculation

Data Groups Referenced:		
Guideline Calculation		

7.9 Account Setup

- 7.9.1** The system will allow the financial worker to set up one or more accounts for each case on which current support is owed. Account information will include amount of the obligation, the obligation payment frequency, and the obligation start and end dates. The system will support separate accounts for each type of support (child, spousal, medical).
- 7.9.2** The system will allow the financial worker to set up one or more accounts for each case on which arrears is owed. Account information will include amount of the obligation, the obligation payment frequency, and the obligation start and end dates. The system will support separate accounts for each type of arrears (custodial, noncustodial).
- 7.9.3** The system will allow the financial worker to set up one or more accounts for each case on which judgments are owed. Account information will include amount of the obligation, the obligation payment frequency, and the obligation start and end dates. The system will support separate accounts for each judgment.
- 7.9.4** The system will allow the financial worker to set up one or more accounts for each case on which fees are owed. Account information will include amount of the obligation, the obligation payment frequency, and the obligation start and end dates. The system will support separate accounts for each fee.
- 7.9.5** The system will automatically set up a Futures Account for each case on which future payments are made.
- 7.9.6** The system will automatically set up a Suspense Account for each case on which overpayments are made.
- 7.9.7** The system will create an **Account Created Event** each time an account is created.
- 7.9.8** The system will provide for the creation of Recoupment Debt Accounts to track debts that are incurred by a CP or Third Party Agency when they have received an overpayment.

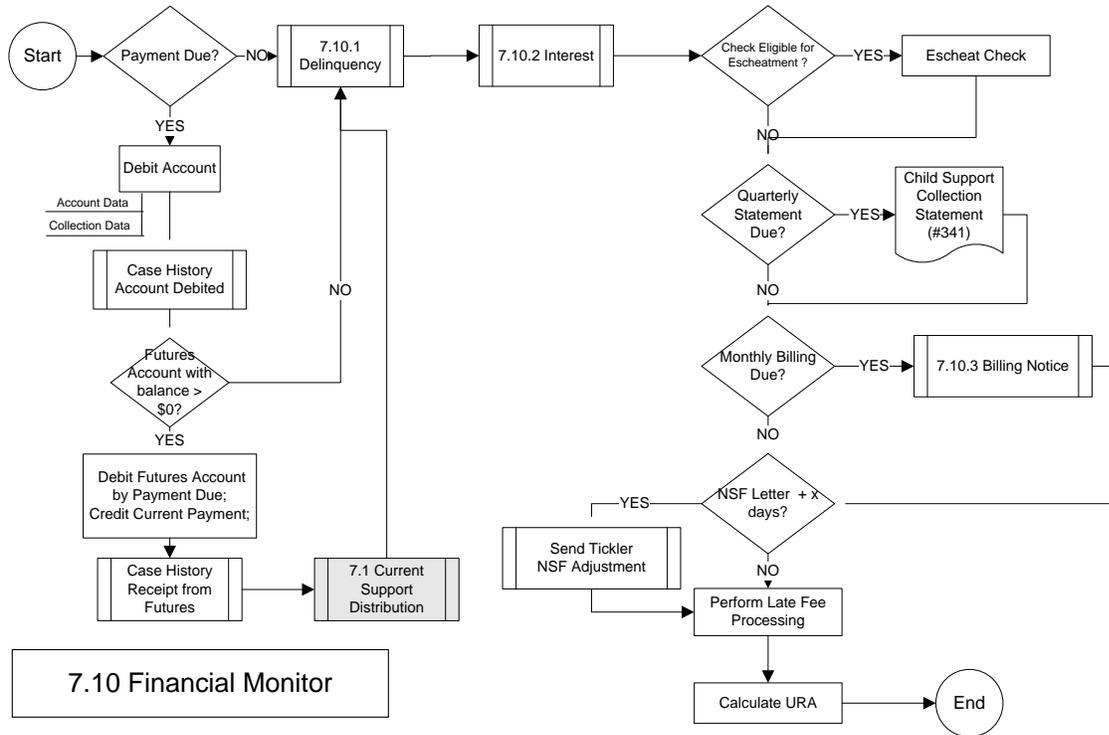


7.9 Account Setup

Data Groups Referenced:		
Account Data	Futures Account	Obligation Data

7.10 Financial Monitor

- 7.10.1** If a payment is due on an obligation, the system will debit the amount due from the obligor's account and will create an **Account Charged Event**. **7.10.2.** The system will support the processing in *7.10.1 Delinquency* and *7.10.2 Interest*.
- 7.10.3** If a Quarterly Statement is due, the system will generate a **Child Support Collection Statement** (#341).
- 7.10.4** If monthly billing is due, the system will support the processing in *7.10.3 Billing Notice*.
- 7.10.5** If an NSF Tickler is due, the system will send an **NSF Adjustment Tickler**.
- 7.10.6** If **Late Fee Indicator** is set for the system and the **Case Late Fee Bypass Indicator** is not set for the case, the system will automatically charge a late fee of **Late Fee Amount** to a delinquent current support account every time the account is charged, provided the debt is not In-Kind or direct pay.
- 7.10.7** The system will calculate Unreimbursed Assistance (URA) for each TANF case based on public assistance grants received.
- 7.10.8** The system will escheat undeposited disbursement checks using the system configuration timeframe for escheatment.
- 7.10.9** Futures accounts will be automatically debited to pay down current support debts and any arrears and judgments debts that have an ordered frequency of payment. The payment from futures will be distributed as described in the processing beginning with *7.1 Current Support Distribution*.
- 7.10.10** If the system is so configured, Futures accounts will be automatically debited to pay down fee debts that have an ordered frequency of payment. The payment from futures will be distributed as described in the processing beginning with *7.1 Current Support Distribution*.
- 7.10.11** The system will create a **Receipt from Futures Event** whenever a payment is made from futures.
- 7.10.12** The system will create a monthly **Recoupment Account Tickler** to the responsible worker for each open Recoupment Account.



7.10 Financial Monitor

Data Groups Referenced:		
Account Data	Collection Data	Financial Configuration Data

7.10.1 Delinquency

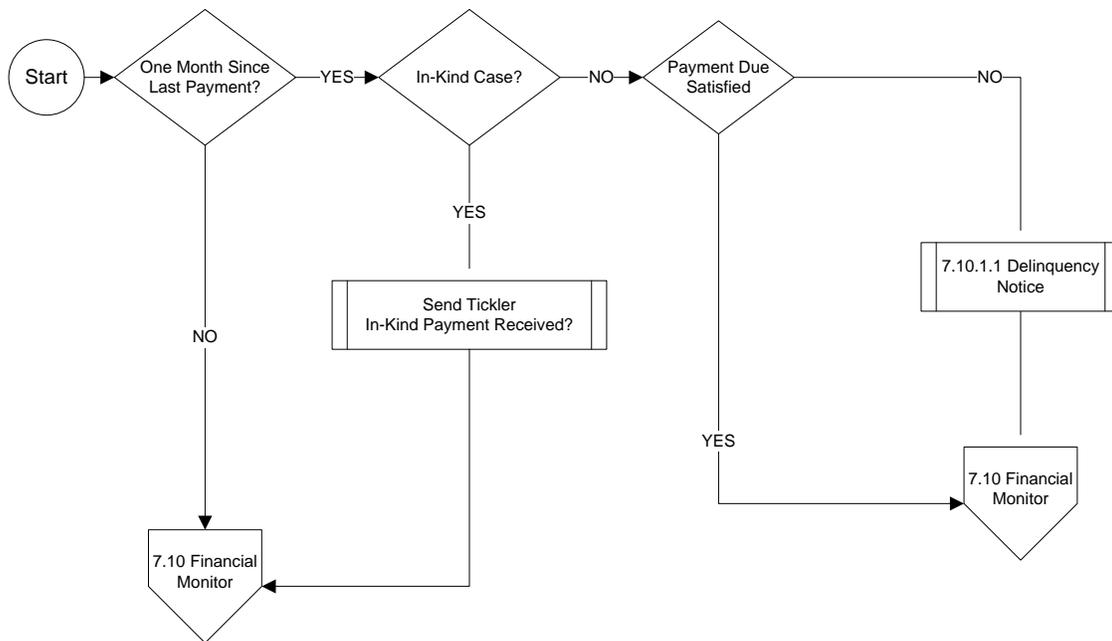
7.10.1.1 The system will perform the processing in *7.10.1.1 Delinquency Notice* whenever:

7.10.1.1-a Payments from futures accounts (if any) as described in 7.10 have been made.

7.10.1.1-b A dollar amount equal to one month’s current support remains overdue for one month plus the number of calendar days specified in the Delinquency configuration timeframe.

7.10.1.2 The system will send an In-Kind Payment Received Tickler whenever a collection has not been posted on an In-Kind payment case for the number of calendar days specified in the Delinquency configuration timeframe.

7.10.1.3 The system will create and update an arrears account to track accumulated unpaid child support. Whenever a payment is not received in full when due, the arrears account will be debited with the unpaid amount.



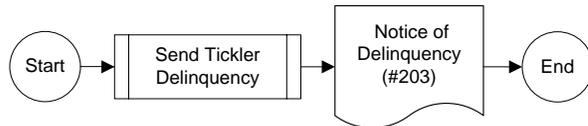
7.10.1 Delinquency

Data Groups Referenced:		
Account Data	Obligation Data	

7.10.1.1 Delinquency Notice

7.10.1.1.1 The system will generate a **Notice of Delinquency Letter** (#203) and send a **Delinquency Tickler**.

7.10.1.1.2 Deleted



7.10.1.1 Delinquency Notice

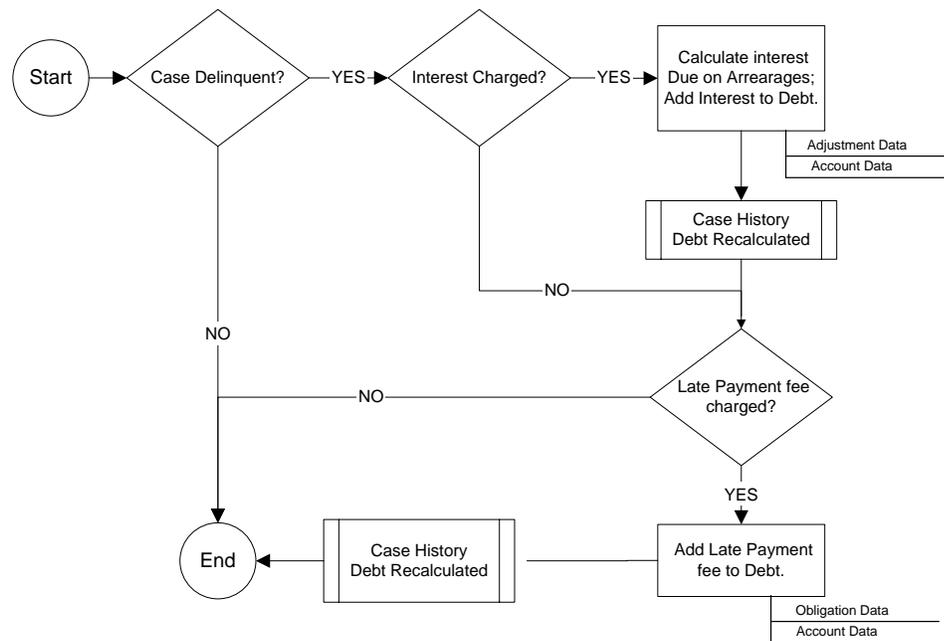
7.10.2 Interest

7.10.2.1 If tribal policy permits the charging of interest, the system must create an arrears interest debt account if one does not exist, must calculate interest owed starting at the first delinquent payment, and must debit the obligor’s account by the amount of interest owed.

7.10.2.2 If tribal policy permits the charging of late fees, the system must debit the delinquent obligor’s account by the amount of the late fee.

7.10.2.3 The system will generate a **Debt Recalculated Event** if the obligor’s account has been modified.

7.10.2.4 The system will create debt accounts to track the accumulated interest on late payments. The interest rate from system configuration will be used to calculate simple interest on the child support arrears debt.

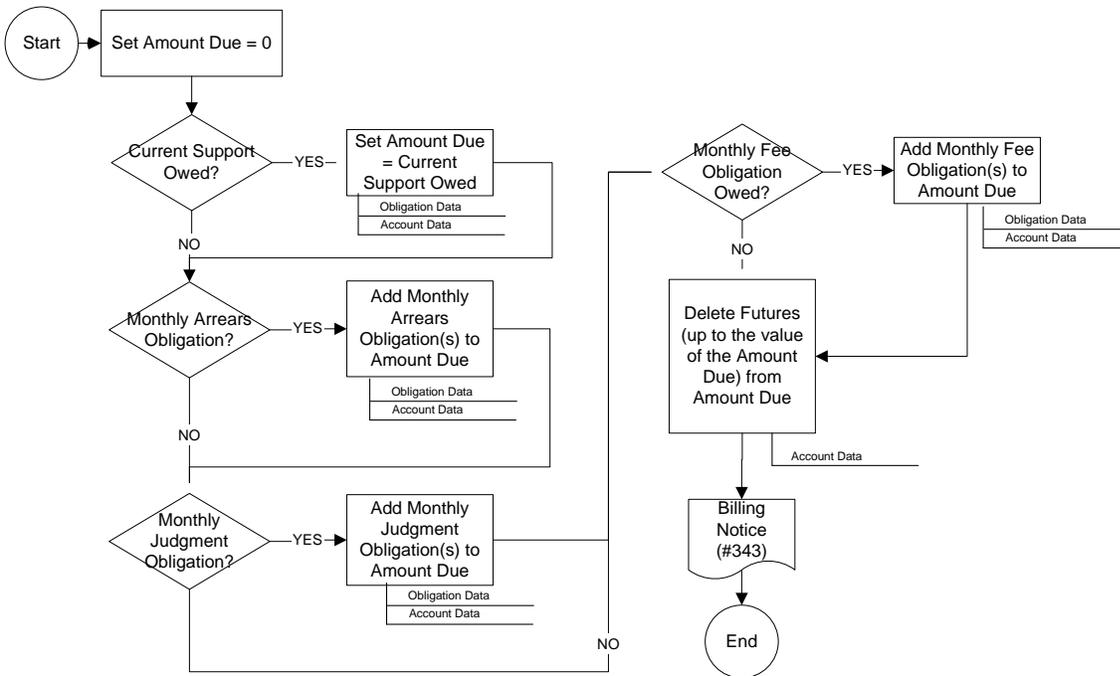


7.10.2 Interest

Data Groups Referenced:		
Account Data	Adjustment Data	Obligation Data

7.10.3 Billing Notice

- 7.10.3.1** The system must summarize a payer's obligations into a single billing statement on a monthly and/or demand basis. The system will calculate a Billing Amount for each case. The Billing Amount is the sum of all monthly obligations (includes current support, arrears, judgments, and fees) minus any future payments. The system produced billing statements must contain, at a minimum, the following information: current amount due for the month by case, amount overdue by case, due dates, payments applied last month, case number, participant number, billing date, and payee name.
- 7.10.3.2** The system will generate a ***Billing Notice*** (#343) with the Amount Due once a month for each case with a verified mailing address, no income withholding, and an unpaid debt.
- 7.10.3.3** The billing statement must provide for entry of an address correction to be returned with the payment.
- 7.10.3.4** The billing statement must not have an indicator which reflects that the custodial party or child(ren) is a TANF, Foster Care, or Child Welfare recipient.
- 7.10.3.5** The system generated billing statement must support varied collection cycles (e.g., weekly, semi-monthly, etc.).
- 7.10.3.6** The system must provide for supervisory-authorized billing suppression and adjustments.
- 7.10.3.7** The system must have both automatic and manual billing statement suppression for a case or set of cases (e.g., cases when another state or tribe is collecting the support payments).



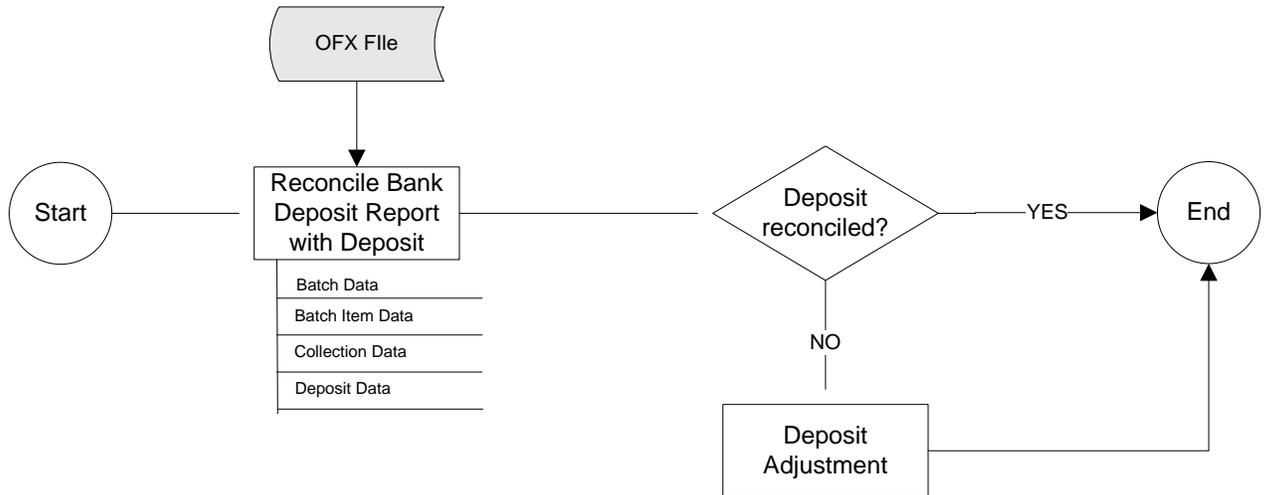
7.10.3 Billing Notice

Data Groups Referenced:		
Account Data	Obligation Data	

7.11 Deposit Reconciliation

7.11.1 The system will support the manual reconciliation of deposit information with reported bank balances.

7.11.2 The system will support the automatic reconciliation of deposits with bank statements provided electronically in Open Financial Exchange (OFX) format.



7.11 Deposit Reconciliation

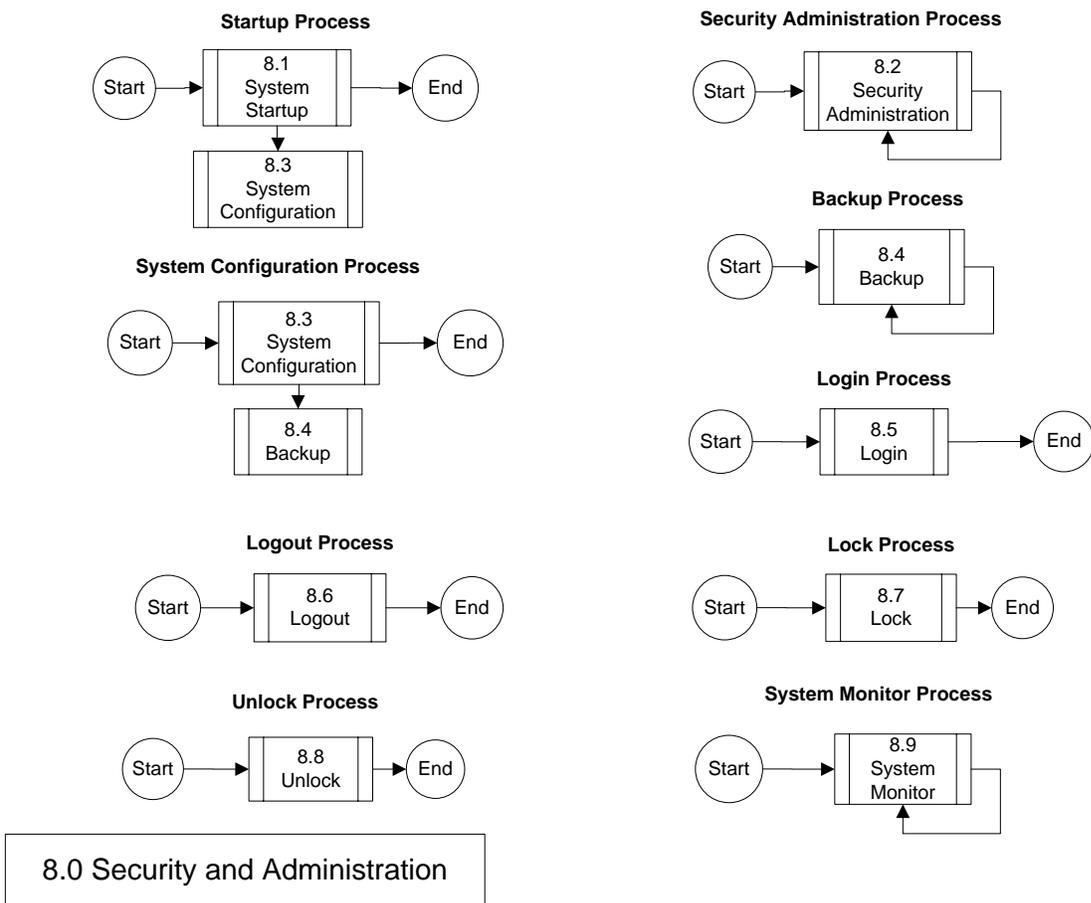
Data Groups Referenced:		
Batch Data	Batch Item Data	Collection Data
Deposit Data		

7.12 Recoupment Accounts

- 7.12.1** The system will support the manual creation of Recoupment Accounts as a result of debt incurred by a CP or agency due to overpayments by the TCSE agency.
- 7.12.2** The system will support the manual creation of Recoupment Accounts as a result of fees owed by the CP.
- 7.12.3** The system will support the manual posting of payments against recoupment accounts.
- 7.12.4** The system will support the refund posting of excess payments against recoupment accounts.
- 7.12.5** The system will support adjustments to, refunds from, and write-offs of recoupment accounts.

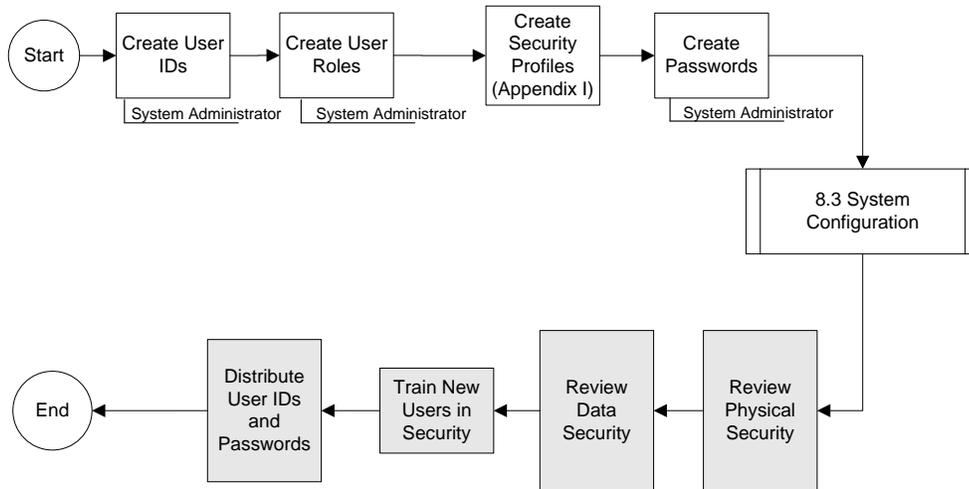
8.0 Security and Administration

- 8.0.1** The system will support system initiation as specified in *8.1 System Startup*.
- 8.0.2** The system will perform processing necessary to maintain system security as specified in *8.2 Security Administration*.
- 8.0.3** The system will allow the configuration of the system to conform to the requirements of specific tribes as specified in *8.3 System Configuration*.
- 8.0.4** The system will automatically back-up system data as specified in *8.4 Backup*.
- 8.0.5** The system will support users logging on the system as described in *8.5 Login*.
- 8.0.6** The system will support users logging off the system as described in *8.6 Logout*.
- 8.0.7** The system will support users temporarily locking their system session as described in *8.7 Lock*.
- 8.0.8** The system will support users unlocking a locked system session as described in *8.8 Unlock*.
- 8.0.9** The system will support automatically logging inactive users off the system as described in *8.9 System Monitor*.



8.1 System Startup

- 8.1.1** The system will create a Security Administrator account and a System Administrator account at system initialization.
- 8.1.2** The system will support the Security Administrator in creating user accounts, passwords and roles for all other users as describe in 8.2 *Security Administration*.
- 8.1.3** The system will support the System Administrator in selecting configuration options for the system using tribal-specific configuration data as described in 8.3 *System Configuration*

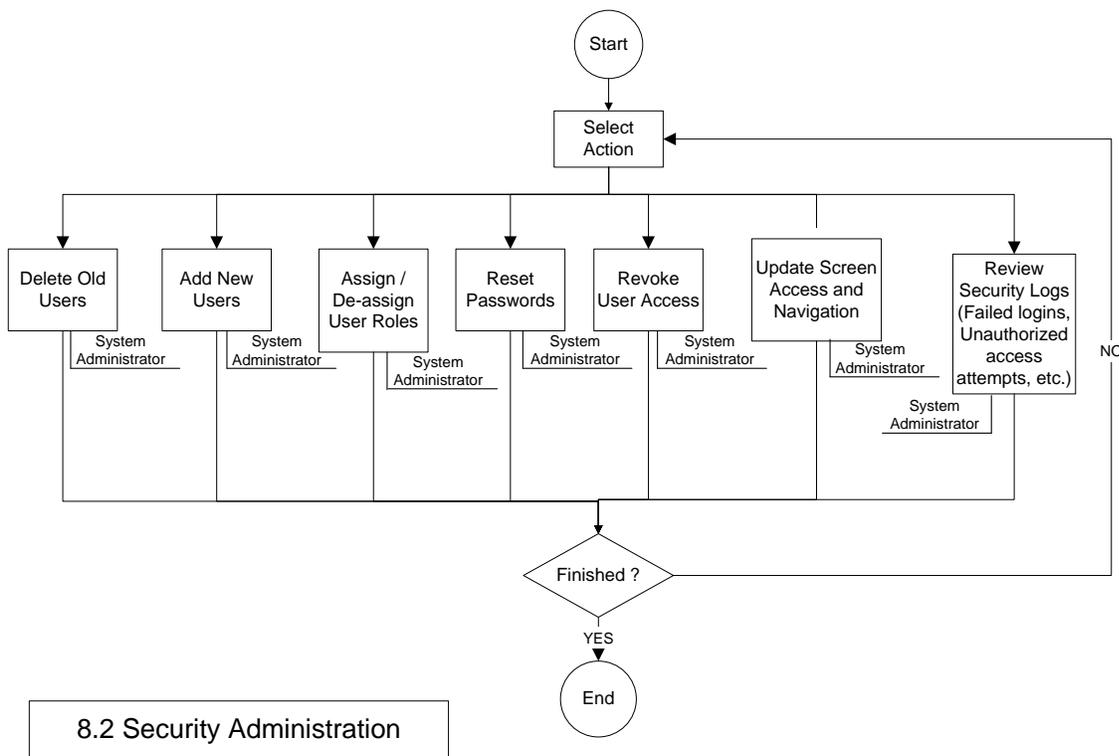


8.1 System Startup

Data Groups Referenced:		
System Administrator		

8.2 Security Administration

- 8.2.1** The system will allow the security administrator to delete old users, add new users, revoke user access, assign roles to users, and de-assign roles from users.
- 8.2.2** The system will produce security logs providing data on authorized and unauthorized access.
- 8.2.3** The system will allow the security administrator to reset user passwords.
- 8.2.4** The system will allow the security administrator to modify the screen access and navigation associated with each user role.

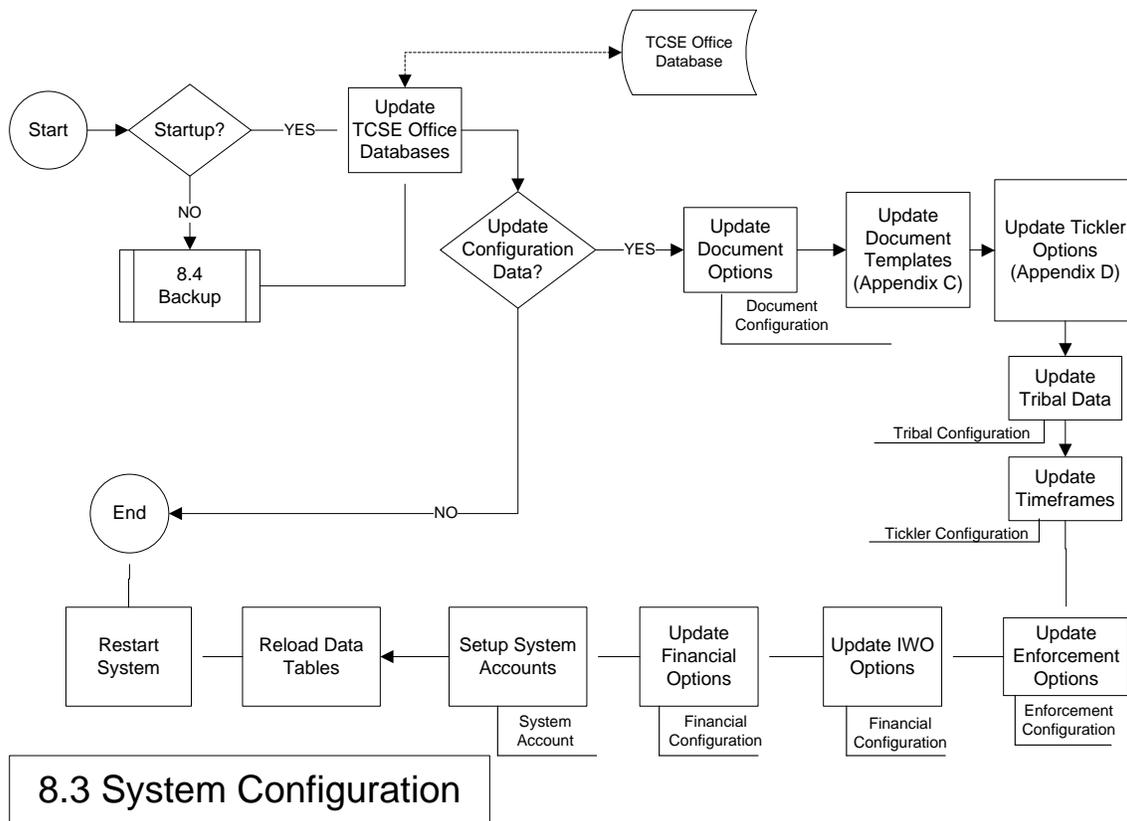


8.2 Security Administration

Data Groups Referenced:		
System Administrator		

8.3 System Configuration

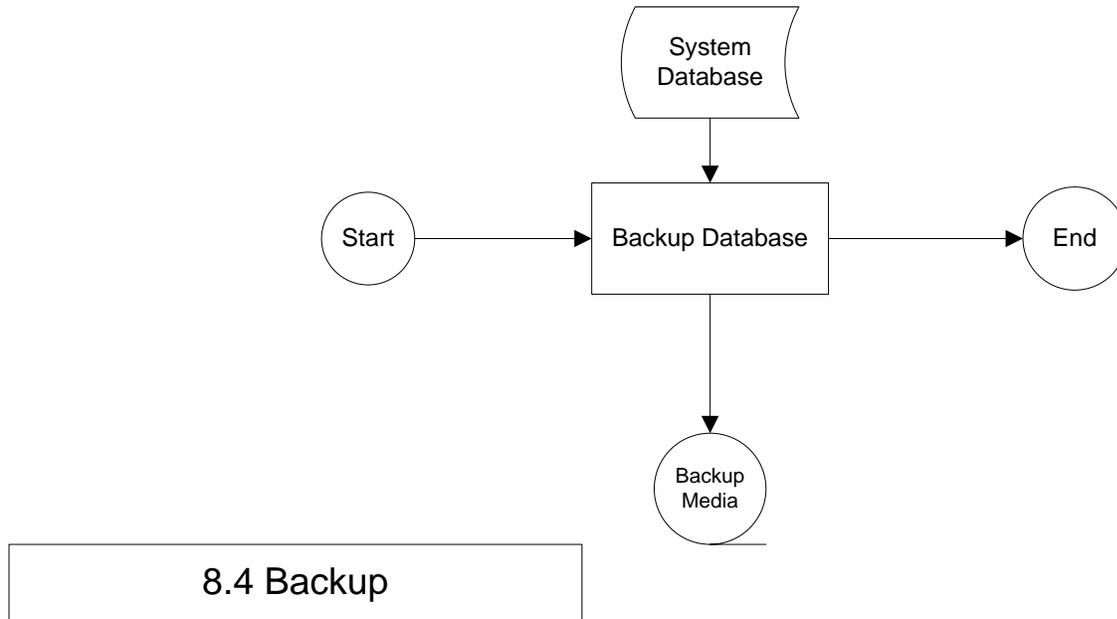
- 8.3.1** A system backup will be performed before modifying the configuration.
- 8.3.2** The system must allow the System Administrator to modify the configuration data at system initiation.
- 8.3.3** The system must allow the System Administrator to make subsequent updates to configuration data with minimum disruption to the system.
- 8.3.4** The system must allow the System Administrator to enter TCSE office Third Party data.
- 8.3.5** The system must allow the System Administrator to modify the document templates and the document configuration options in *Appendix C*.
- 8.3.6** The system must allow the System Administrator to modify the Tickler options in *Appendix D*.
- 8.3.7** If no changes are made to the configuration data, it will have the default values given in *Appendix G - Configuration Data*.



Data Groups Referenced:		
Document Configuration	Enforcement Configuration	Financial Configuration
System Account	Tickler Configuration	Timeframe Configuration
Tribal Configuration		

8.4 Backup

8.4.1 The system will support scheduled automatic backups and manual backups of all system data to removable media.



8.5 User Login

8.5.1 The system will require that user’s login using a user ID and password issued by the Security Administrator.

8.5.2 Only authorized Users will be allowed to login.

8.5.3 Each user will only be able to have one login session at a time.

8.5.4 Users will be required to select a single user role at login if they have multiple roles.

8.5.5 Users will be required to change passwords at initial login and every 90 days thereafter.

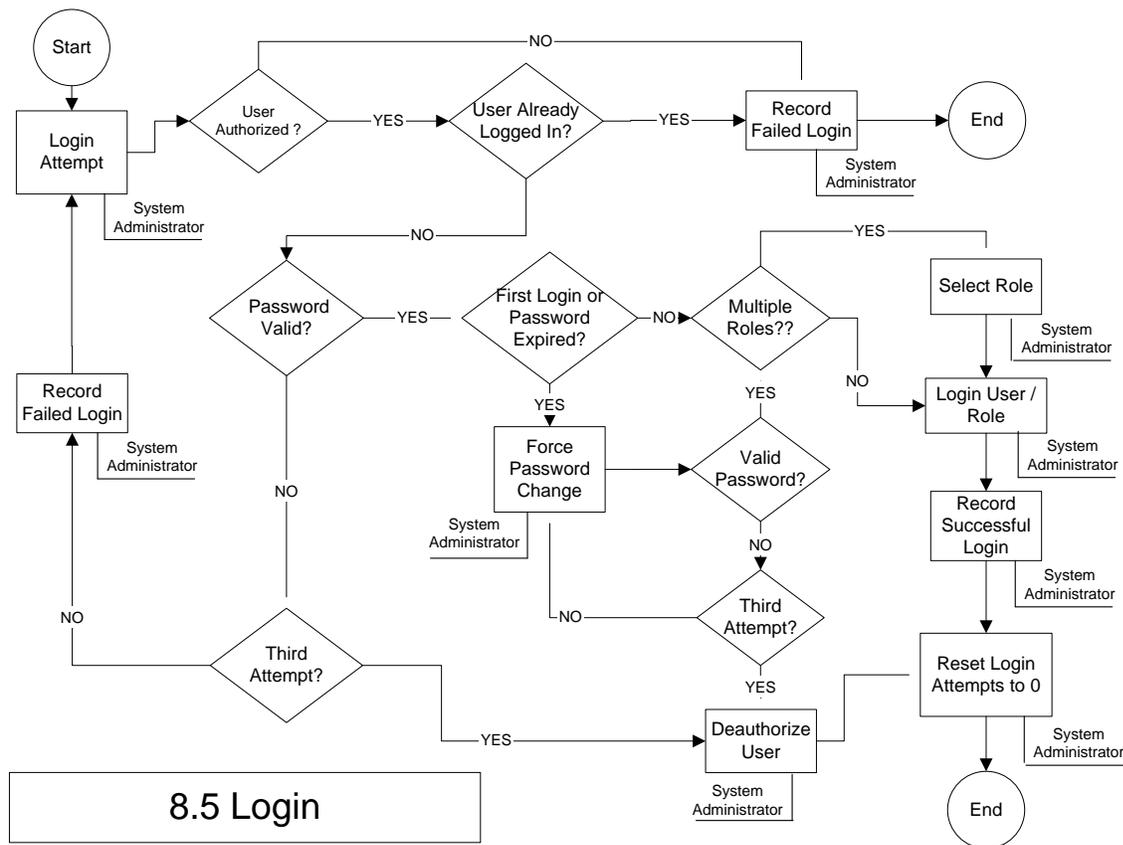
8.5.6 User logging in after locking their screen will be returned to their previous role.

8.5.7 Users will be de-authorized after three unsuccessful attempts to enter their password.

8.5.8 Users will be de-authorized after three unsuccessful attempts to change their password. The system will provide a secure workaround for a lockout of the Security Administrator’s account after three attempts.

8.5.9 The system will record all successful and unsuccessful attempts to log on the system.

8.5.10 The system will record all user de-authorizations.



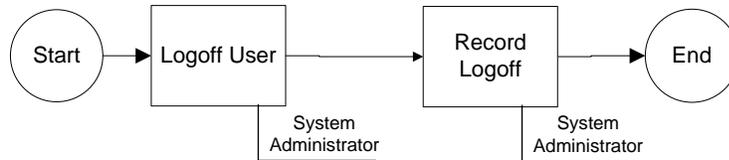
Data Groups Referenced:		
System Administrator		

8.6 Logoff

8.6.1 Users will be able to log off their accounts at any time.

8.6.2 No data may be entered or read and no user actions may be taken on a logged off account.

8.6.3 The system will record all system log offs.



8.6 Logoff

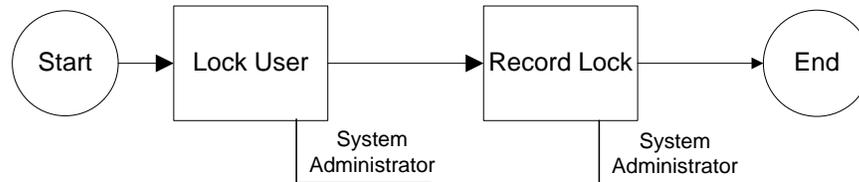
Data Groups Referenced:		
System Administrator		

8.7 Account Lock

8.7.1 Users will have the option of locking their accounts with password protection for a period of up to 30 minutes.

8.7.2 No data may be entered or read and no user actions may be taken on a locked account.

8.7.3 The system will record all system locks.



8.7 Lock

Data Groups Referenced:		
System Administrator		

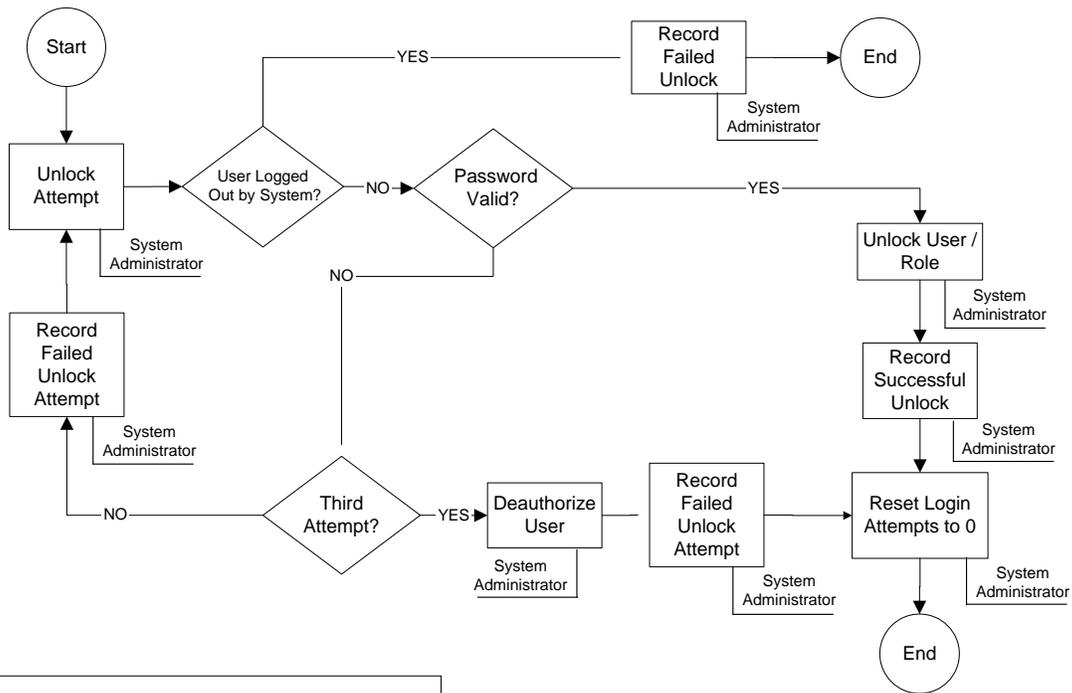
8.8 Unlock

8.8.1 Users will be able to unlock their locked accounts with their system password unless they have been logged off by the system monitor.

8.8.2 Users will be returned to their previous session, role, and screen after a successful unlocking.

8.8.3 The system will record all successful and unsuccessful attempts to unlock an account.

8.8.4 Users will be de-authorized after three unsuccessful attempts to enter their password.



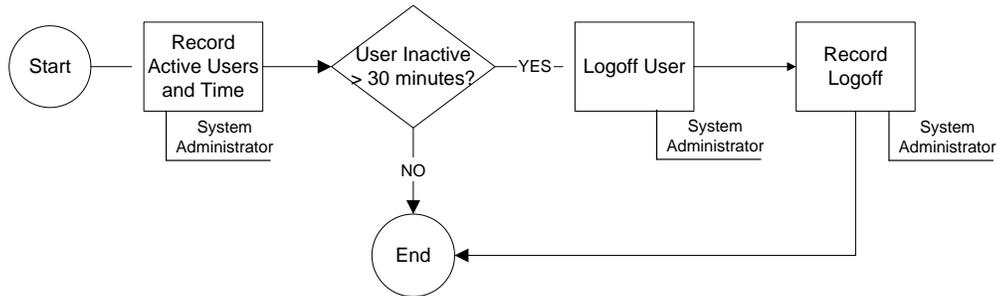
8.8 Unlock

Data Groups Referenced:		
System Administrator		

8.9 Monitor

8.9.1 Users will automatically be logged off the system if their accounts have been inactive for 30 minutes or more.

8.9.2 The system will record all automatic system log offs.

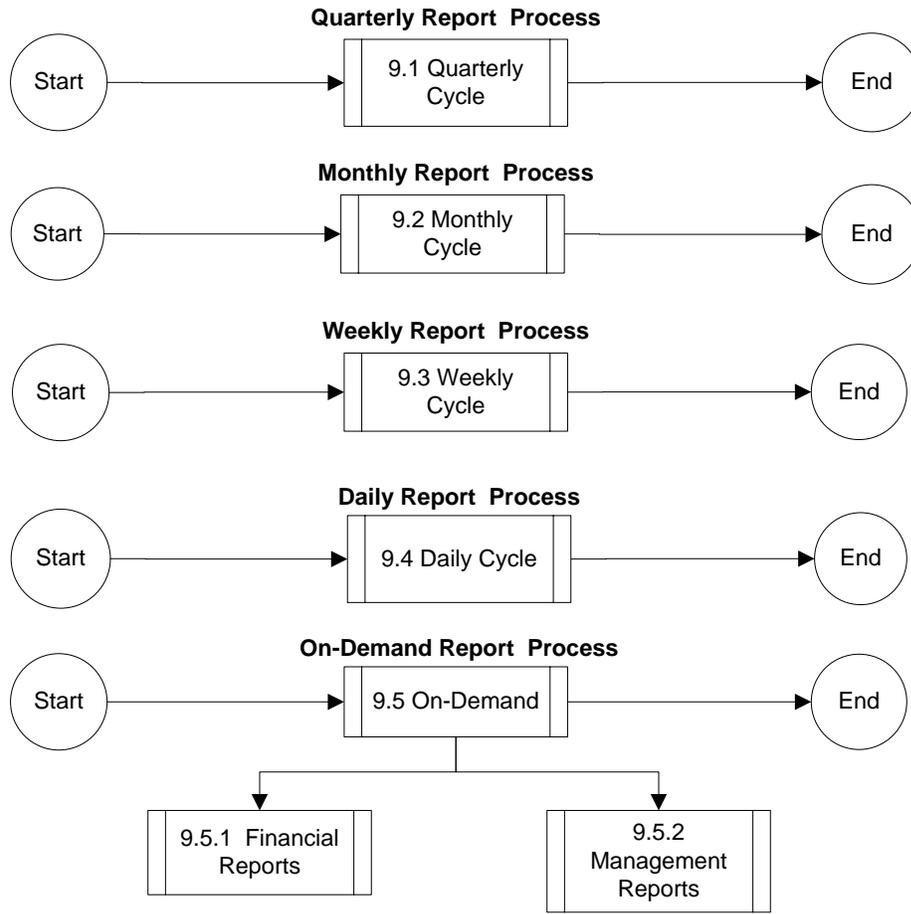


8.9 System Monitor

Data Groups Referenced:		
System Administrator		

9.0 Reporting Process

- 9.0.1** The system shall maintain information required to prepare federal reports.
- 9.0.1-a** Deleted
 - 9.0.1-b** OCSE-34A - Child Support Enforcement Program Quarterly Report of Collections.
 - 9.0.1-c** Statistical and Narrative Report of program activities and caseload for each funding period. The required information includes:
 - 9.0.1-c.i** Total number of cases, and of those, the number that are state or tribal TANF and non-TANF.
 - 9.0.1-c.ii** Total number of out-of-wedlock births in the previous year and total number of paternities established or acknowledged.
 - 9.0.1-c.iii** Total number of cases and the total number of cases with an order.
 - 9.0.1-c.iv** Total amount of current support due and collected.
 - 9.0.1-c.v** Total amount of past-due support owed and total collected.
 - 9.0.1-c.vi** Total amount of fees and costs recovered.
- 9.0.2** The system shall generate reports required to ensure and maintain the accuracy of data and to summarize accounting activities.
- 9.0.3** The system shall provide management reports for monitoring and evaluating employee, office/unit, and program performance.
- 9.0.4** The system shall support the expeditious review and analysis of all data that is maintained, generated, and reported by the system.
- 9.0.5** The system must support the aggregation of data by office for management and reporting purposes.
- 9.0.6** The system will automatically generate specified management and financial reports on a quarterly, monthly, weekly, and daily schedule.
- 9.0.7** The system will automatically generate specified management and financial reports on demand by an authorized user.
- 9.0.8** The names of fields on reports provided by the system shall be consistent with the names of the corresponding display fields in the user interface.
- 9.0.9** All reports will be in the format shown in *Appendix F – Report Formats*.
- 9.0.10** All reports will incorporate information derived from system data elements as shown in *Appendix F – Report Formats*.
- 9.0.11** The system will support daily, weekly, monthly, and quarterly reporting cycles as described in *9.1 Quarterly Cycle, 9.2 Monthly Cycle, 9.3 Weekly Cycle, and 9.4 Daily Cycle*.
- 9.0.12** The system will support on-demand generation of reports as described in *9.5 On-Demand*.

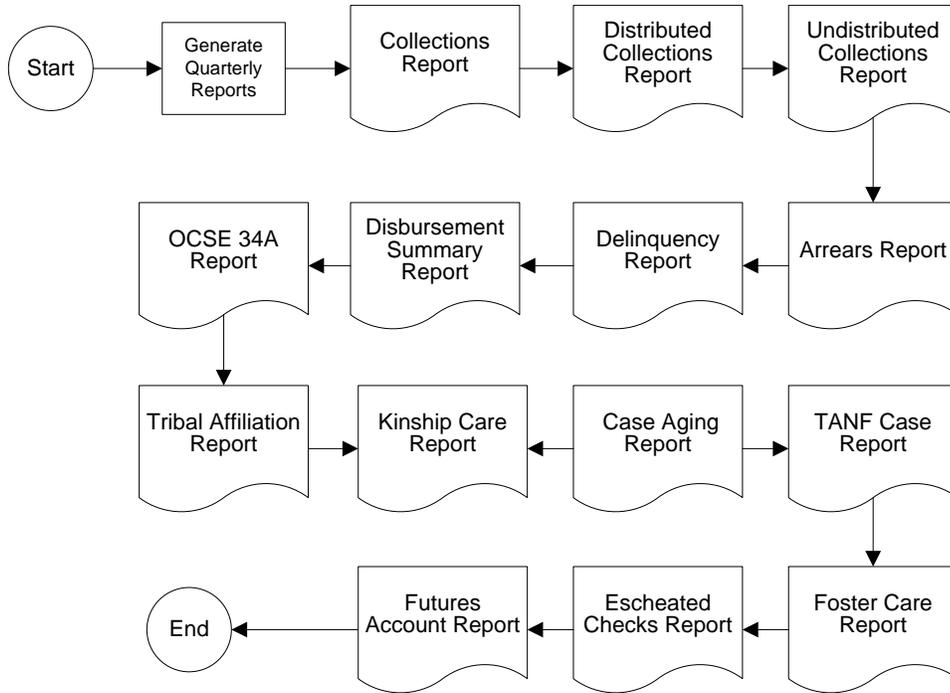


9.0 Reporting Process

9.1 Quarterly Cycle (Not Implemented)

9.1.1 The system will automatically generate the following reports quarterly:

- 9.1.1-a *Collections Report*
- 9.1.1-b *Distributed Collections Report*
- 9.1.1-c *Undistributed Collections Report*
- 9.1.1-d *Arrears Report*
- 9.1.1-e *Delinquency Report*
- 9.1.1-f *Disbursement Summary Report*
- 9.1.1-g *OCSE 34A Report*
- 9.1.1-h *Tribal Affiliation Report*
- 9.1.1-i *Kinship Care Report*
- 9.1.1-j *Case Aging Report*
- 9.1.1-k *TANF Case Report*
- 9.1.1-l *Foster Care Report*
- 9.1.1-m *Escheated Checks Report*
- 9.1.1-n *Futures Accounts Report*

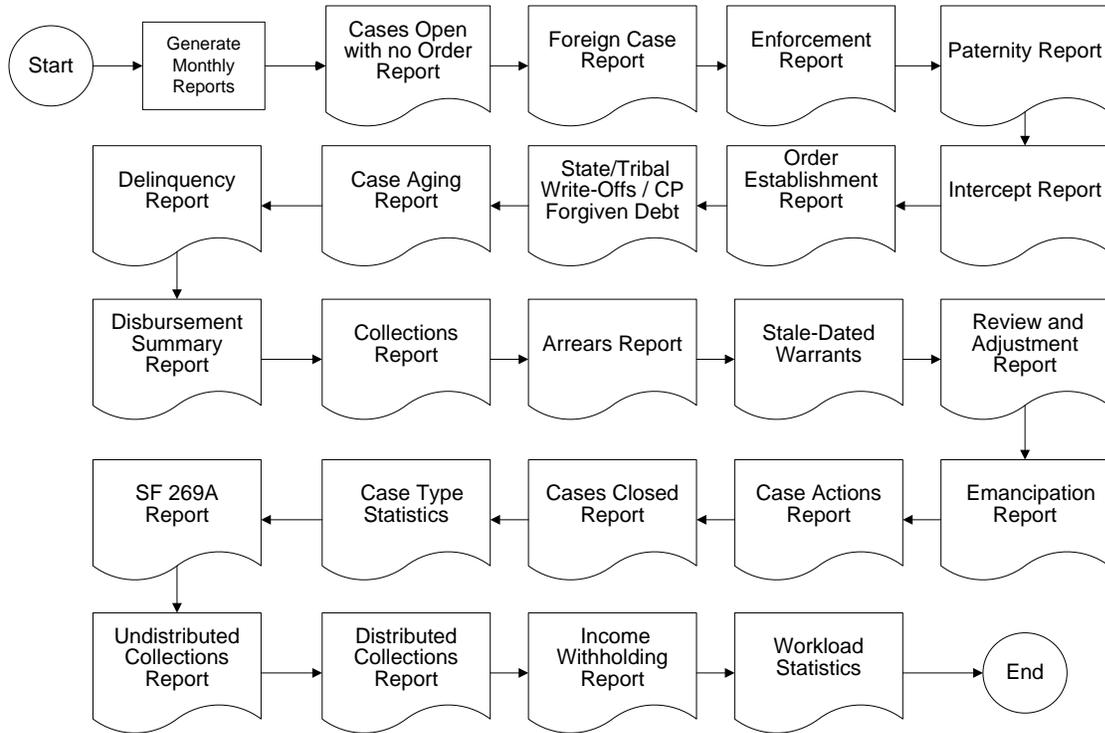


9.1 Quarterly Cycle

9.2 Monthly Cycle (Not Implemented)

9.2.1 The system will automatically generate the following reports monthly:

- 9.2.1-a *Cases Open with no Order Report*
- 9.2.1-b *Foreign Case Report*
- 9.2.1-c *Enforcement Report*
- 9.2.1-d *Paternity Report*
- 9.2.1-e *Intercept Report*
- 9.2.1-f *Order Establishment Report*
- 9.2.1-g *State / Tribal Write-Offs / CP Forgiven Debt*
- 9.2.1-h *Case Aging Report*
- 9.2.1-i *Delinquency Report*
- 9.2.1-j *Disbursement Summary Report*
- 9.2.1-k *Collections Report*
- 9.2.1-l *Arrears Report*
- 9.2.1-m *Stale-Dated Warrants*
- 9.2.1-n *Review and Adjustment Report*
- 9.2.1-o *Emancipation Report*
- 9.2.1-p *Case Actions Report*
- 9.2.1-q *Cases Closed Report*
- 9.2.1-r *Case Type Statistics*
- 9.2.1-s *SF- 269A Report*
- 9.2.1-t *Undistributed Collections Report*
- 9.2.1-u *Distributed Collections Report*
- 9.2.1-v *Income Withholding Report*
- 9.2.1-w *Workload Statistics*



9.2 Monthly Cycle

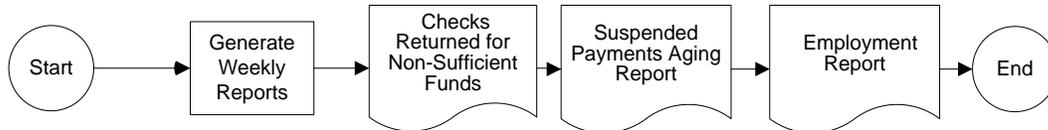
9.3 Weekly Cycle (Not Implemented)

9.3.1 The system will automatically generate the following reports weekly:

9.3.1-a *Checks Returned for Non-Sufficient Funds*

9.3.1-b *Suspended Payments Aging Report*

9.3.1-c *Employment Report*



9.3 Weekly Cycle

9.4 Daily Cycle (Not Implemented)

9.4.1 The system will automatically generate the following reports daily:

9.4.1-a *Batch Balance Reconciliation*

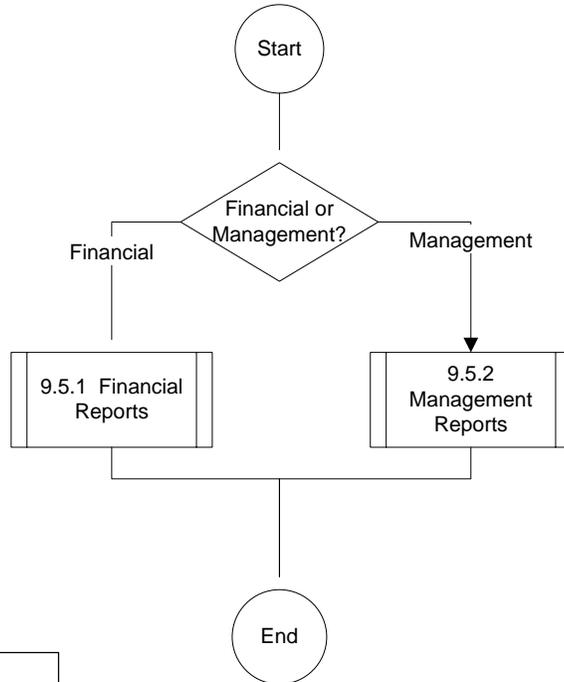
9.4.1-b *Financial Adjustments*



9.4 Daily Cycle

9.5 On-Demand

9.5.1 The system will allow the user to select financial or management reports for on-demand generation.

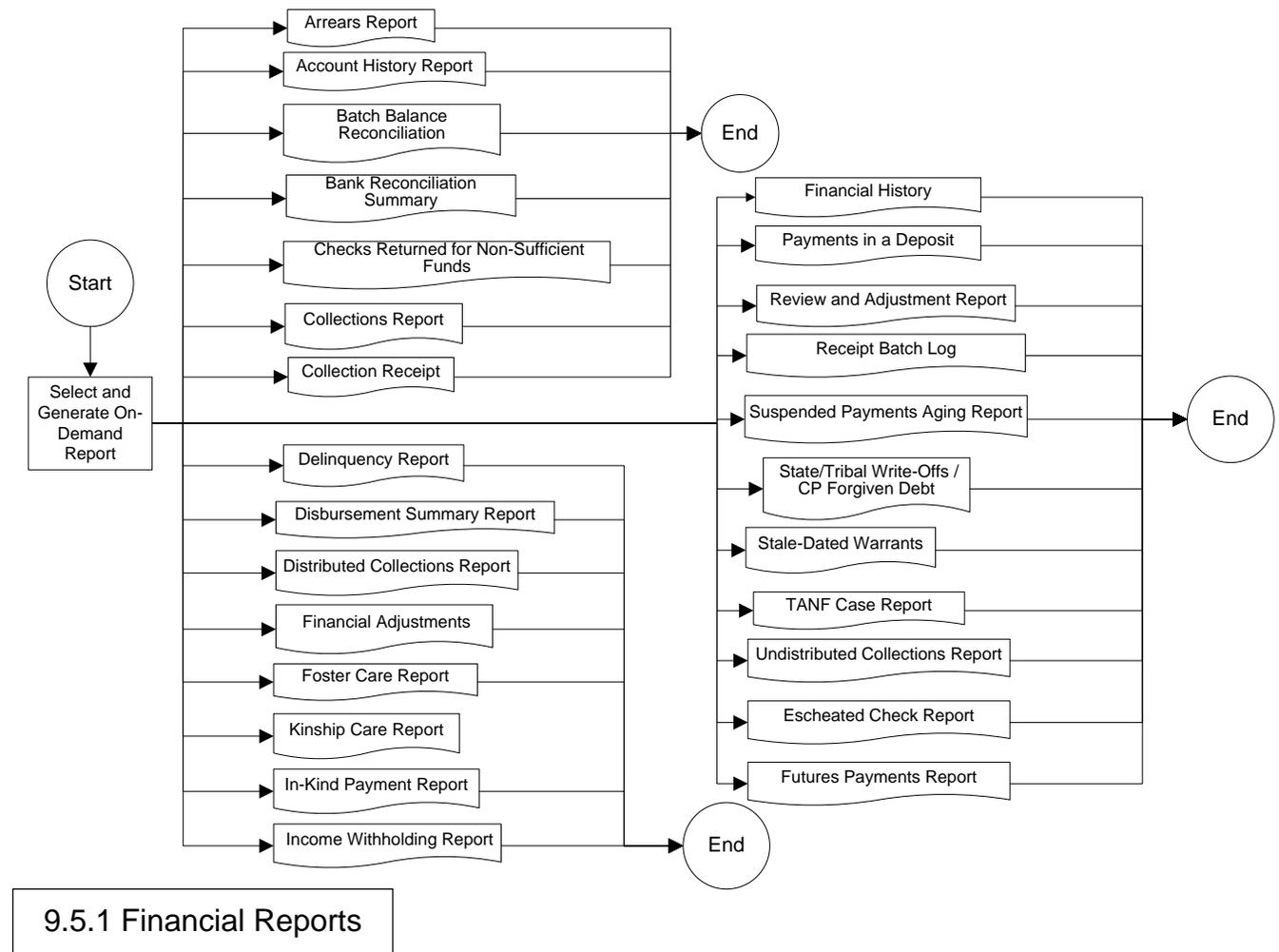


9.5 On-Demand

9.5.1 Financial Reports

9.5.1.1 The system will allow the user to select and automatically generate the following financial reports:

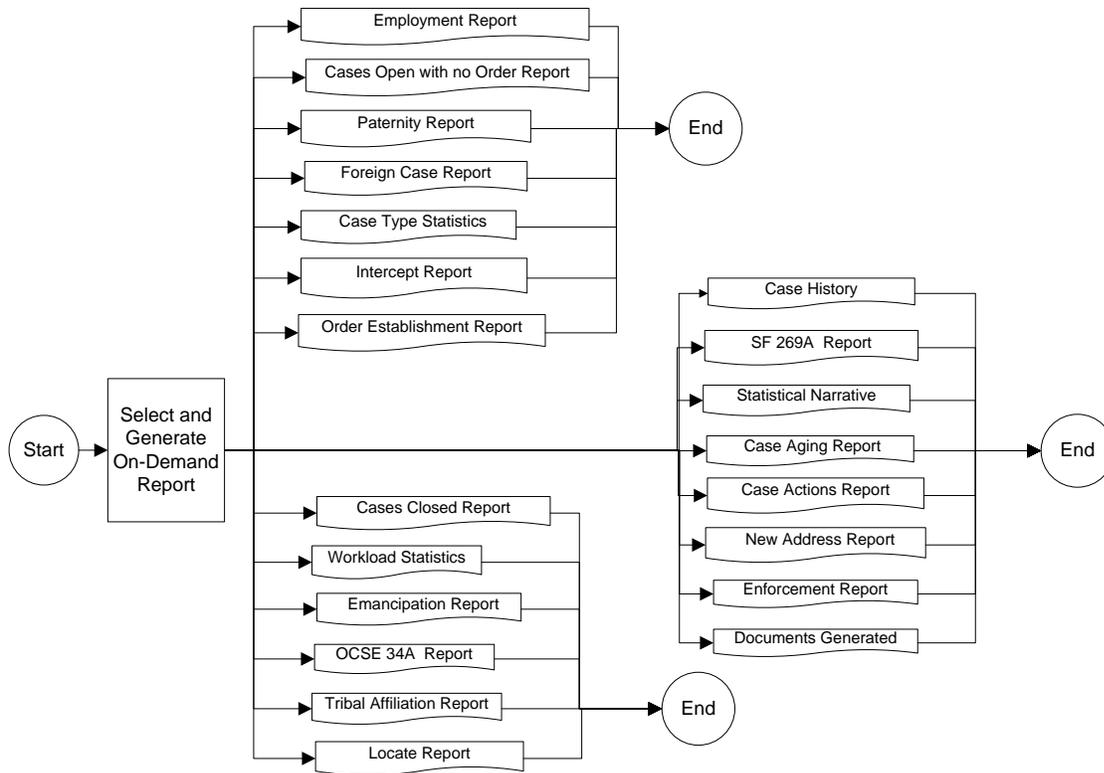
- 9.5.1.1-a *Arrears Report*
- 9.5.1.1-b *Account History Report*
- 9.5.1.1-c *Batch Balance Reconciliation*
- 9.5.1.1-d *Bank Reconciliation Summary*
- 9.5.1.1-e *Checks Returned for Non-Sufficient Funds*
- 9.5.1.1-f *Collections Report*
- 9.5.1.1-g *Collection Receipt*
- 9.5.1.1-h *Delinquency Report*
- 9.5.1.1-i *Disbursement Summary Report*
- 9.5.1.1-j *Distributed Collections Report*
- 9.5.1.1-k *Financial Adjustments*
- 9.5.1.1-l *Foster Care Report*
- 9.5.1.1-m *Kinship Care Report*
- 9.5.1.1-n *In-Kind Payment Report*
- 9.5.1.1-o *Income Withholding Report*
- 9.5.1.1-p *Payments in a Deposit*
- 9.5.1.1-q *Review and Adjustment Report*
- 9.5.1.1-r *Receipt Batch Log*
- 9.5.1.1-s *Suspended Payments Aging Report*
- 9.5.1.1-t *State / Tribal Write-Offs / CP Forgiven Debt*
- 9.5.1.1-u *Stale-Dated Warrants*
- 9.5.1.1-v *TANF Case Report*
- 9.5.1.1-w *Undistributed Collections Report*
- 9.5.1.1-x *Financial History Report*
- 9.5.1.1-y *Escheated Checks Report*
- 9.5.1.1-z *Futures Payments Report*
- 9.5.1.1-aa Recoupment Accounts by Payee
- 9.5.1.1-bb Recoupment Accounts by Case



9.5.2 Management Reports

9.5.2.1 The system will allow the user to select and automatically generate the following financial reports:

- 9.5.2.1-a *Employment Report*
- 9.5.2.1-b *Cases Open with no Order Report*
- 9.5.2.1-c *Paternity Report*
- 9.5.2.1-d *Foreign Case Report*
- 9.5.2.1-e *Case Type Statistics*
- 9.5.2.1-f *Intercept Report*
- 9.5.2.1-g *Order Establishment Report*
- 9.5.2.1-h *Cases Closed Report*
- 9.5.2.1-i *Workload Statistics*
- 9.5.2.1-j *Emancipation Report*
- 9.5.2.1-k *OCSE 34A Report*
- 9.5.2.1-l *Tribal Affiliation Report*
- 9.5.2.1-m *Locate Report*
- 9.5.2.1-n *SF- 269A Report*
- 9.5.2.1-o *Statistical Narrative*
- 9.5.2.1-p *Case Aging Report*
- 9.5.2.1-q *Case Actions Report*
- 9.5.2.1-r *New Address Report*
- 9.5.2.1-s *Enforcement Report*
- 9.5.2.1-t *Documents Generated*
- 9.5.2.1-u *Case History*



9.5.2 Management Reports