



# CRS Replacement Project

## **Attachment G - Comprehensive Requirements Document**

This document is divided into the follow 4 sections each with an independent table of content:

- Business System Requirements
- Data Definition
- Data Interface Specification
- Use Cases



## CRS Replacement Project Business System Requirements (BSR)

Prepared by Critical Logic



#	Description	Changed By	Date
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## 2. Introduction

The Washington State Department of Health Services (DSHS) Office of Financial Recovery (OFR) recovers overpayments made to individuals who have received public assistance through DSHS. OFR uses its Client Recovery System (CRS) to drive and track recovery of these overpayments.

CRS was originally implemented as a COTS solution in 1991. The base COTS system has not been upgraded since the original rollout. Customizations to the system have been implemented throughout its existence to satisfy evolving legislative and business requirements.

Additional interfaces, tools, and processes have also been developed around the system to augment its capabilities. Many of these functions are tailored to the design of the existing “as-is” system, but satisfy business needs that must also be supported by a replacement system.

The purpose of the Business System Requirements document is to define the business needs that must be supported by a CRS replacement system, independently of the design of the existing system, at a level of detail sufficient for potential implementers of a replacement system to accurately assess the effort and cost required to do so.

### 2.1. *How to Read This Document*

#### 2.1.1. Structure

The document is divided into 4 main parts as follows:

1. Business Process Description  
Provides introductory context for what CRS is used for and how it works.
2. System Feature Requirements  
Provides detailed requirements for the “functional” features of any replacement system. These features serve as the platform for implementation of business processes, logic, & data.
3. Business Process/Function Types  
Provides an overview of the types of processes and functions the system must support. What the detailed processes will look like in the system depend heavily on the level to which the implementation satisfies the System Feature Requirements. Examples are given and typed, to allow for a view into how the Business Logic & Data need to fit together with the System Feature Requirements.
4. Business Logic & Data  
Provides an elaboration of the detailed processing logic that must be implemented in a replacement in order to support the business processes and functions, regardless of system features.

### **2.1.2. “As-Is” vs. “To-Be”**

In each section, where applicable, descriptions of both “as-is” CRS system behavior (that is, the behavior of the system being replaced), and “to-be” system behavior (the requirements for the replacement system) are included and clearly marked as such.

### **2.1.3. Accompanying Documents**

This document should be read in conjunction with two other accompanying requirements documents:

- The *“As-Is” Data Interfaces Specification* provides an inventory and general description of existing CRS data interfaces.
- The *Business Data Definition* document defines the business data entities, attributes, and relationships that the rules delineated herein depend on.

### 3. Glossary

Term	Definition
ACES	A DSHS mainframe system that automates the eligibility determination and case maintenance process for Temporary Assistance for Needy Family (TANF), Basic Food Program and Medicaid Programs. ACES support federal and state policies and procedures for delivering benefits to clients statewide.
AFRS Code	Code that allows the statewide accounting system, AFRS, to identify the program from which an overpayment originated, and allocate payments back to the correct GL account. (Alternately referred to as “line of coding”.) AFRS Code shall be tracked in the CRS Replacement System at both the Obligation level (ACES) and payment Transaction level.
BARCODE	A client server system that manages case folders, document images and workload for DSHS case workers. Twenty major component subsystems track childcare eligibility, social service case management, federal QA audits, field audits, EBT card issuance, fair hearings, protective payee plans, negotiable, random moment time samples, telephone assistance, and fraud referrals to OFA. Provides programmed and ad hoc access to ACES, EJAS, and native BARCODE data
Case	A CRS Case is comprised of all the debts owed by an individual, and all the other individuals who are jointly liable for all of those debts. Please see the <a href="#">“Joint Liability”</a> section for further definition.
CAT	Cash Adjustment Tool – Used by FSA to adjust payments that were incorrectly processed for some reason – for example an amount was incorrectly entered, or the payment was allocated to the wrong Client.
CAU	Client Accounting Unit – The group of OFR accountants responsible for administering (i.e. the users of) the accounting functions of CRS.
CEU	Client Enforcement Unit – the group of Recover Agents (RAs) responsible for (i.e. the users of) the collections functions of CRS.
Client	A living individual with direct and/or indirect responsibility for repayment of one or more overpayments (i.e. Obligations) made through one of the Public Assistance programs (food, cash, medical).
CRS	Client Recovery System – The system used by WA DSHS to recover overpayment of social services benefits to state residents (“Clients”).
CRT	Cash Receipt Tool – Used by FSA to manually process payments that could not be processed automatically, due to the absence of a statement receipt/barcode, or some other issue. Used to process payments for many types of debt, not just Client.
DCA	Diversion Cash Assistance (DCA) provides alternative assistance for families who have a short term need and do not wish to receive Temporary Assistance to Needy Families (TANF) assistance.
DCS	Department of Child Support – A division of DSHS, responsible for Child

Term	Definition
	Support collections. DCS provides front-line mail / payment processing services for Client payments that make their way into CRS.
DSHS	Department of Social & Health Services
Expungement	An automated retrieval of expired funds from the client's FNS benefit card. Expungements are an automated process that happen outside of CRS via ACES.
FNS	Food and Nutrition Services – The federal division of the USDA responsible for administering SNAP.
FREO	Old term for RA, retired. (Used sometimes in mainframe code.)
FSA	Financial Services Administration – DSHS Division responsible for processing Client payments.
FTROP	The Federal Tax Refund Offset Program (FTROP) collects Federal Food Debt that a Client was not entitled to receive for any reason. Before a case is submitted to FTROP, Federal Law mandates that: (1) The client received due process on the debt. 2. The debt is at least \$25.00 3. The debt is in delinquent status. See also "TOP".
Garnishment	Deduction of owed payments from an employee's paycheck, by an employer, remitted to DSHS by the employer. Can be involuntary (OWD), or voluntary (Wage Assignment).
ISSD	DSHS' Information System Services Division. Responsible for a variety of upstream and downstream systems. Also hosts the existing CRS mainframe. See also TSD.
MODIS	Management Operation Document Imaging System – DSHS' web-based system for storing and viewing imaged documents.
Obligation	An overpayment tracked in CRS. CRS overpayments originate from either the ACES system (through an automated data feed), or from SSPS for manual entry. CRS, as an accounting system, treats each Obligation as a debt. Payments are captured as transactions that reduce the balance of the debt.
OFA	Office of Fraud and Accountability – a division of DSHS self-described as follows: "The Office of Fraud and Accountability investigates welfare fraud in Washington state. This includes Temporary Assistance for Needy Families (TANF), basic food assistance, electronic benefits transfer cards and child care assistance." OFA is a common source of discovery for overpayments.
OFR	Office of Financial Recovery – Division of DSHS responsible for recovering overpayments through a variety of programs, including Client Recovery, Estate Recovery, Vendor Recovery, and others.
Order to Withhold and Deliver (OWD)	A legal document that requires (1) an employer to withhold part of an employee's wages and send it to the requester (OFR in this case) (2) a

Term	Definition
	financial institution to withhold a onetime request for a specific dollar amount from any account the client might have rights to; without the employee (client) agreeing to it
OSU	OFR' s Office Support Unit – Performs administrative tasks such as mailings, printing forms, filing, etc.
PC Cash	Cash Receipting Tool, like CRT, used by FSA for processing payments into a variety of recovery channels. Currently only used for very specific types of CRS-related payments (ACH).
RA	Recovery Agent – The collections agent responsible for interfacing directly with Clients to negotiate payment agreements, drive the collections processes, and trigger accounting functions.
Recoupment	Automatic reduction of clients authorized monthly benefits with the reduction posted against the debt. For example, if the Client is receiving monthly cash assistance, a recoupment would reduce the amount of that assistance by a set amount in order to pay off their debt. Recoupments are administered through the ACES system.
Referral	The document from DSHS, HCA, or any other originating source that documents the overpayment, triggering the manual entry of an overpayment, as an Obligation, and related data, into the CRS system for the first time.
SCOMIS	Superior Court Online Management Information System External system that provides notification of Client death (for Liens, etc.). Accounting also uses court information to view accounts receivable information (through “JIS”).
SNAP	The Supplemental Nutrition Assistance Program, formerly and still popularly known as the Food Stamp program, provides financial assistance for purchasing food to low- and no-income people living in the U.S. It is a federal aid program, administered by the U.S. Department of Agriculture, though benefits are distributed by individual U.S. states.
SSP	State Supplemental Payment – Benefits provided by the state as a supplement to the federal SSI program, which is a cash benefit program administered by Social Security.
SSPS	Social Services Payment System – DSHS uses SSPS to pay for a variety of services that facilitate employment, increase independence, and protect children, the fragile elderly, and disabled children and adults. Some CRS Client overpayments originate from SSPS.
TANF	Temporary Assistance for Needy Families – Federal cash assistance program that provides temporary financial assistance while aiming to get people off of that assistance, primarily through employment. Administered by ACES.

Term	Definition
TOP	Federal “Treasury Offset Program” is a centralized offset program, administered by the Bureau of the Fiscal Service's (Fiscal Service) Debt Management Services (DMS), to collect delinquent debts owed to federal agencies and states. CRS interfaces with TOP to “certify” SNAP overpayments for treasury “offset” (i.e. payment by deduction from federal tax refunds).
TOP CRS	Retired, separate SQL server application that used a periodic snapshot of CRS data to satisfy the federal Treasury Offset Program’s reporting requirements for federal Food Stamp/SNAP debt. TOP CRS functionality was re-implemented internally to CRS in 2014.
TSD	Technology Services Division – Formerly ISSD. Responsible for a variety of upstream and downstream systems. Also hosts the existing CRS mainframe.

*Note: Additional information on these and other terms used by DCS and WA DSHS can be found online at the DSHS public web site. <http://www.dshs.wa.gov/qclicks.asp>*

## 4. Business Process Description

### 4.1. What is CRS

WA DSHS uses CRS to account for and track collection activities on debt owed by individuals as the result of overpayment of various social program benefits.

This type of overpayment might result from a change in law, an unreported change in an individual’s financial status, or fraud, to name a few.

CRS serves as both a Case Management system and an Accounting system. A team of collections agents (RAs) works cases to drive collections. A team of Accountants manages the financial side of the accounts, including batch entry of new collections referrals, adjustments, settlements, balancing, and other accounting functions.

### 4.2. Special Considerations for a Replacement

#### 4.2.1. Joint Liability

The nature of the debt as owed by individuals makes collection and accounting activities more complex and intertwined than they are for debt owed by other kinds of legal entities.

Collections Agents (RAs) maintain awareness of a host of variables that govern whether they can collect, and what the appropriate next collection action might be.

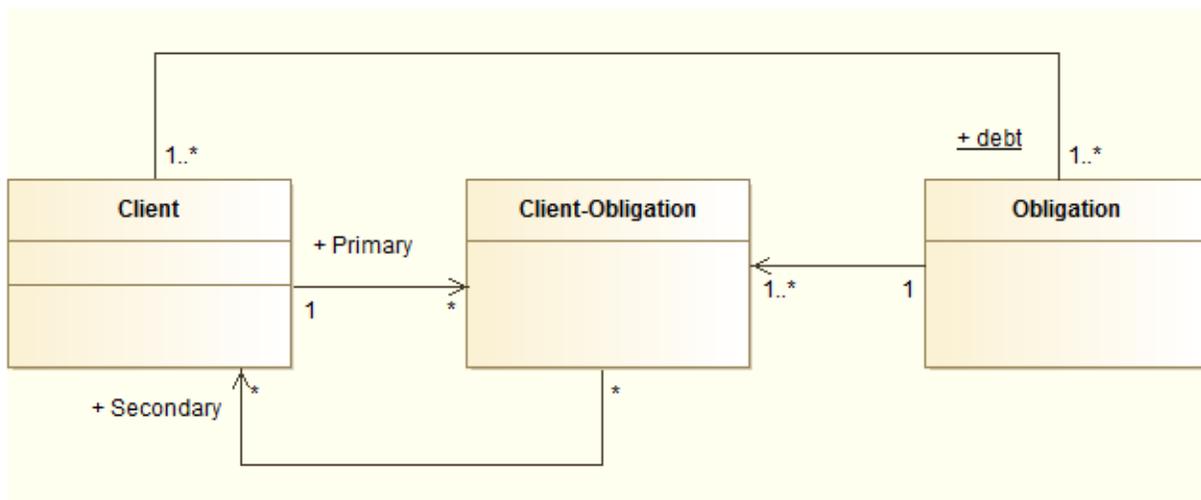
RAs establish personal relationships with individual Clients to gather information about their situation and find ways to ensure payment is made.

Client's life situations are constantly evolving, as they move in and out of relationships, relocate, and take other actions that affect both their liability and their ability to pay.

In support of this complexity, CRS supports both Case Management and Accounting functions. CRS provides a way to monitor and maintain this complex body of continuously evolving information.

#### 4.2.1.1. *The Concept of "Case"*

The following conceptual class diagram represents what is meant in CRS by a "Case". The Case does not have an identity in and of itself. Rather, it reflects the way collection agents need to be able to interact with the data, given the laws and policies governing collection, in the context of the challenges posed by widely varied and changing Client situations.



*Notes on the above diagram:*

1. A given Client can have 1 or more Obligations in the system (the top line, L to R).
2. line, L to R).
3. A given Obligation can have 1 or more Clients (the top line, R to L).
4. Client-Obligation is an entity that holds data about the relationship between Client & Obligation, including whether the Client is Primary or Secondary on the Obligation.
5. A given Obligation has exactly one Primary Client.
6. A given Obligation has any number of Secondary Clients.
7. A user must be able to navigate to all the Clients for a given Obligation.
8. A user must be able to navigate to all the Obligations for a given Client.

## 5. System Feature Requirements

### 5.1. User Authorizations

#### 5.1.1. “As-Is” System

In the current CRS System, user access to functions is governed by role-based authorizations.

- System roles, and authorities granted, basically align with the CEU and CAU organizational structures. For example, Supervisor > Lead > RA2 > RA 1.
- Each function is designated as Accounting, Collections, or Both.
- Accounting Supervisors receive full access to all functions designated Accounting or Both.
- Collections Supervisors receive full access to all functions designated Collections or Both.
- Lead workers have a little less authority, with some exceptions for specific tasks like specific reports.
- RA2’s have another level of authority as they take legal actions against clients but don’t need any accesses to managing work flows of staff etc.
- RA 1 has less authority so needs less access to functions.

“Separation of Duties” is an important principle that governs how OFR staff divides their functional authorizations in CRS. Each person should have access to everything they need to do their specific job functions and no more. That principle must be satisfied by a CRS Replacement system.

#### 5.1.2. “To-Be” System

1. The system shall provide role-based control over user access to all of the following in any part of the system:
  - a. Functions (screens, actions, navigation, pre-defined reports, etc.)
  - b. Data records (view/edit individual records based on specific criteria)
  - c. Data elements (view/edit elements within a data record).
2. Constraints on access to see data (either records or elements) extend to all reporting (both ad-hoc and pre-defined).
3. The system shall provide secure, account-based user sign-in, and password reset capability.
4. The system shall provide user-level access to administer the authorizations of other users for whom they are permitted to administer authorizations.

5. The system shall provide certain users with the ability to temporarily grant authority over certain functions and/or data to other individuals who otherwise would not have the authority.

## 5.2. Case Management

The concept of “Case” is central to CRS and its replacement.

The present section is based on information contained in other sections. Please also reference the following sections that further elaborate topics touched on in this section:

- *Joint Liability*, including and especially its sub-section *The Concept of “Case”*, which defines the data relationship requirements of a CRS Case in detail
- *Data Context*, which describes how the data context of a Case is presented to the user for information and navigation

### 5.2.1. “As-Is” System

While it does serve the most basic data needs of the RAs managing Cases, the current CRS system is a limited Case Management tool.

CRS satisfies the basic data relationships required by the concept of Joint Liability, but it does not present to the user the full complexity of the relationships that make up a “Case”, except in incremental pieces as the user navigates from screen to screen.

In addition to requiring complex data relationships, Case Management often happens over long periods of time. Features to solve for the challenges this creates, such as automated reminders, are lacking in CRS.

### 5.2.2. “To-Be” System

Many of the features required in a CRS replacement system – and defined as Features in the present document – are required precisely because they directly support the unique challenges of Case Management.

These include but are not limited to:

- The Concept of “Case”
- Data Context
- Workflow
- Configurability
- Forms
- Reporting
- Case Narratives
- Attachments
- Search

Please reference the appropriate corresponding sections in the present document for detailed elaboration of “to-be” requirements for these important features in support of Case Management.

## **5.3. Workflow**

### **5.3.1. “As-Is” System**

Many of the collection and accounting functions CRS supports require multiple procedural steps, often across users, and thus lend themselves to being supported by “workflow” functionality. However, CRS is not a workflow system.

If an RA wishes to trigger an Accounting function, they must gather the necessary information and deliver it in the form of a request to an Accountant outside the system (typically an email or handwritten note).

If an RA knows they need to follow-up with a Client in 28 days, the RA uses external mechanisms to set up the prompt that will remind them to follow-up in 28 days.

Among the highest objectives of the CRS Replacement is to internalize these kinds of external processes. Workflow functionality can dramatically improve visibility, efficiency, accuracy, and accountability, to name just a few of the benefits of workflow.

### **5.3.2. “To-Be” System**

The CRS Replacement system is expected to have workflow at the core of many of its key functions.

“Workflow” in the sense intended shall be comprised of the following:

- Work Item – The thing that moves through the workflow
- States – The states the Work Item moves through in the workflow
- Actors – The roles for the workflow (submitter, approver, etc.)
- Actions – The allowable actions on the workflow
- State Transition rules – Based on the intersections of State, Actor, Action, other data validation.
- Work Item Queue – The ‘inbox’ of every User, to show the Work Items in their queue.

Different types of functions in shall be supported by Workflows:

- Action Requests
  - Users shall be provided with the ability to submit workflow requests for data updates they are not authorized to perform. These requests create action items for authorized users to complete the request.

- For predefined Action Requests to update data, the requested change shall be committed on approval, without requiring the approver to re-enter the data.
- For predefined Action Request workflows, the system shall:
  - Capture proposed data updates
  - Trigger approval queue
  - Approval executes the change
  
- The system must also provide the ability to submit general Action Requests as needed, which require the recipient to perform the requested updates themselves.
  
- Form Generation
  - Gather existing data and pre-populate Form
  - Prompt for any data the Form requires that is external to the system
  - Validate required data is present, other data validations.
  - Provide the ability to save the draft form for later
  - Trigger approval queue if needed
  - Form visible from within the case on completion
  
- Any other function that requires approval
  
- “Ticklers”
  - Ticklers are reminders to take some action
  - They can be thought of as a simplistic kind of workflow (generates a Work Item that appears in an Actor’s Queue, until they take some Action)
  - They can be event-driven (for example to notify the user of new data from a data feed), or pre-programmed by the user to remind them to take some future action after a specified period.
  
- Queue Management
  - The system shall support user-specific queues AND general queues that can be worked by any authorized individual.
  - Configurable rules for case assignment for dynamic task routing based on:
    - Alphabetical name ranges
    - Obligation balances
  - Management-level views of workflow queues across staff, for monitoring task assignments.

## **5.4. Configurability**

The CRS Replacement system shall be as configurable as possible. The following sections describe the configurability capabilities to be addressed.

*Note: Some of these capabilities may overlap in some situations. They are elaborated here for completeness.*

#### **5.4.1. Screens & Screen Elements**

- Records
- Record filtering
- User auths
- Data Elements
- Edit rules

#### **5.4.2. Numeric Rule Parameters**

To the extent possible, any rule that has a number in it should be parameterized, so that the number value that governs the rule can change, without having to rewrite/recode the rule.

#### **5.4.3. Event-Driven Ticklers**

Ability to configure Tickler-creation as a function of system events (when x happens, put something in a queue).

#### **5.4.4. Workflows**

The system shall provide the ability to create new workflows without having to write code. That is, new workflows can be “configured” into the system.

#### **5.4.5. Data Interfaces**

Ability to construct data interfaces without having to code or know the underlying physical data structure. Data interface configuration requires an interface that presents an abstraction layer to a non-technical individual to support mapping of from/to elements.

#### **5.4.6. Forms**

The system shall provide authorized users the ability to submit “template” documents to the system that function as templates for Forms, with data variables specified that reference preexisting data fields and/or defined input fields to prompt the user for when generating the Form.

#### **5.4.7. Search**

The system shall provide the ability to customize search screens, including both criteria and results, based on the data entities & attributes defined in the Business Data Definition.

#### **5.4.8. Table-Driven Derivations**

The system shall provide the ability to maintain tables that drive business logic. Some examples of such tables mentioned in this document:

- Payment processing priority matrix
- Recoupment processing priority matrix
- AFRS Coding Derivation matrix
- Select (“Drop-down”) lists (see “Lookup Tables” section in Business Data Definition document for many examples)

#### **5.4.9. Pre-Defined Reports**

The system shall provide users with the ability to design, define, and save reports that become available to other users. Please see the [“Reporting”](#) section for further details.

#### **5.4.10. Statements**

The system shall provide authorized users the ability to configure the maximum number of Statements generated in a given Statement cycle. Please see the “Statements” section (under the “Business Logic and Data” section) for further details.

#### **5.4.11. “Lines of Business”**

The system shall provide the ability to define different sets of configurations for different “lines of business”, so that a user who belongs to one line of business will be subject to different configurations than a different user logging in under a different line of business.

### **5.5. Reporting**

#### **5.5.1. “As-Is” System**

The CRS system generates reports as the result of system processing events that occur periodically.

Please reference the reports contained in [“Appendix C – Predefined Reports”](#) for detailed description of existing pre-defined reports.

There is no ad-hoc reporting available in the “as-is” system.

#### **5.5.2. “To-Be” System**

A robust reporting capability alone will result in tremendous operational improvements for the CEU and CAU.

1. The system shall provide users with the ability to design, define, and save reports that become available to other users (“pre-defined” reports), or themselves in the future, to execute at their convenience.
2. The system shall provide for automatic system-initiated generation of defined reports.

3. The system shall provide the ability to report on all states and other data defined in the “Business Logic & Data” section.
4. The system shall employ User Authorizations logic to control access to Reports, as well as to data (records, attributes) within the reports.
5. The system shall provide the ability to save reports locally as files in typical file formats (Excel, Word, PDF).

## **5.6. Forms**

Forms are critical to CRS. Forms drive, and are driven by, many of the collections & accounting functions CRS supports.

### **5.6.1. “As-Is” System**

Today, most CRS forms are completed and published outside the CRS system. Users download form templates from a system called “OFR Doc,” which gets its form templates from a system called “Forms Management”.

“Forms Management” houses all DSHS forms, serving as the “system of record” for OFR form templates, and provides a website for online form generation. Changes to OFR forms are driven through Forms Management.

In OFR Forms, any data that must be entered into the forms must be entered by hand by the user, and is saved with the form. There is no way to put completed forms in CRS.

When a user generates and completes a form in OFR Doc, the following process is triggered:

1. A work item is generated in the print queue of the OSU.
  - a. Forms generated in OFR Doc have the ability to set a flag that indicates to the OSU that an external paper attachment is to be included in the mailing.
2. If the form does not require certified mail, go to step four.
3. If the form requires certified mail:
  - a. The OFR Doc system sends a daily file to the Walz “Certified Mailer” creation system with sufficient information about the Client (name, address, etc.) for Walz to automatically create a certified mailing label.
  - b. Walz returns a PDF file containing the printable certified mailing label and a data feed linking the Form ID to the corresponding Certified #.
  - c. OFR Doc imports both the mailer and the Certified #, which is captured at that time directly on the form before it gets printed.

4. The OSU receives notice of the response in a queue, and prints and mails the form.
5. OFR Doc transmits an image of the printed form to imaging (MODIS).

*Note: The OFR Doc Walz account is per envelope bought – OFR buys the mailer envelopes in advance. Currently OFR Doc processes approx. 1000 certified mailers per month, about half of which are for CRS Clients.*

Some ‘forms’ are generated by the system using Data Interfaces (e.g. Statements) to trigger other systems to print and send the forms. The CRS side of such functions is defined in the accompanying Data Interfaces Specification.

Please reference “[Appendix D – Forms](#)” for a complete list of the current forms used by CRS related processes.

### **5.6.2. “To-Be” System**

CRS processes largely revolve around Forms. Bringing Forms into the CRS system will reduce support automation of process workflows, reduce the amount of effort required to generate forms, and improve visibility of Case Form history in CRS.

CRS does not necessarily need to use the OFR Doc system or Imaging. Today, OFR Doc, combined with the Imaging system, provides the following features which must also be provided in the CRS replacement context:

- Form templates
- The OSU print queue
- The interface with Walz for Certified #s
- Imaging provides visibility into what Forms have been generated for a given case.

The CRS Replacement system shall satisfy the following Form requirements:

1. Provide the ability for authorized users to define and upload Form templates without having to write code (see also “Configurability” section).
2. Provide the ability for users to initiate generation of Forms from within CRS, in the appropriate data context.
3. Provide the ability for the system to populate Forms with Case data already stored in the system, eliminating duplicate data entry.
4. Prompt the user for additional data required by the Form.

*Note: In most cases the data to populate the form is a combination of already-existing data, and data that is specific to the form and not stored in the database as data (i.e. only stored inside a copy of the form document itself). There is no requirement to store form-data as data, except as defined in the Business Data Definition document.*

5. Provide the ability to see all generated forms from the context of a given Case.
6. Populate a form print queue for the OSU (Office Support Unit) to read from and print/send standard mail forms.
7. Support generation of a feed to external vendor system "Walz" for forms that must be sent by Certified Mail (currently handled by Forms Doc system), and support processing of a return feed from Walz containing the Certified #, to be written back to the form and database for future reference.
8. Provide users with the option to generate different variants of a given form as a function of the Client's Language Code.

*Note: There is no requirement to necessarily (or not) use Forms, or MODIS (Imaging). It is understood that bypassing OFR Doc would add a system for OSU to have to use, but it would reduce systems and steps for RAs.*

*The Interfaces section of this document assumes CRS will pass forms back and forth with Forms Doc, and continue to rely on Forms Doc for external interfaces and print queue. Whether this approach is ultimately taken is a business and technical design decision to be made at implementation.*

## **5.7. Case Narratives**

The nature of Client overpayment cases is that they can last a long time – often years, as the Client migrates across jobs, in and out of assistance, etc. They are also very personal, with factors not storable as data elements influencing collection decisions.

Because of these and other factors, the ability to record “narrative” information about a case is a key component of any CRS solution.

### **5.7.1. “As-Is” System**

In the existing CRS system, many of the processes it supports happen outside the system. For example, forms are completely external to CRS; as are “ticklers”. Because of this, CRS’ “Narrative” function is heavily used by users as a record of events for future reference.

Narratives in CRS follow a simple uniform structure. Narratives are written about Clients. The system stores text, who recorded the narrative, and when.

Narratives are recorded by users. Some user-supplied Narratives are recorded according to policy, as part of executing certain kinds of functions in the system. Others are recorded simply to capture useful information during the life of the Case.

Users follow an externally defined set of “shorthand” patterns for users to abbreviate information in the limited-length text field on the narrative record when recording policy-based Narratives as part of executing specific functions in the system.

### **5.7.2. “To-Be” System**

The CRS Replacement system shall satisfy the following:

1. Provide the ability to record narrative data as defined for the “Narrative” entity in the Business Data Definition document (essentially the same structure and elements as the current system).

*Note: Additional Narrative data and relationships may be identified at implementation, depending on the capability of the solution. These requirements reflect the baseline need for Narratives.*

2. Provide an unlimited “memo” style narration field, so that information does not need to be artificially squeezed into a tiny field.
3. Provide the ability to attach files as part of a user-supplied narrative (see also the “Attachments” section).
4. Provide for both user-generated Narratives, and System-generated Narratives created in response to system events
  - a. System-generated narratives are for the user’s point of view, to provide a clear view of the life of the Case. Narratives are separate from “audit” requirements, which capture system-level information about who changed what, when, for a different purpose.
  - b. Detailed requirements for what system events generate Narratives, and what information to capture in them per event, are to be defined as part of implementation.
5. Narratives have special constraints on edit ability after they have been saved. They must be editable by the user who entered them for a specified (configurable) period.
6. Narrative editing is also subject to the constraints of User Authorizations, which govern user access to data and functions.

## **5.8. Attachments**

### **5.8.1. “As-Is” System**

The “as-is” system does not have the ability to store files as “attachments”. Staff store shared files on a network drive.

### **5.8.2. “To-Be” System**

The “to-be” system shall provide the ability to upload/download files in the context of a given Case as attachments.

The “to-be” system shall provide the ability to control what types of files can be uploaded, based on filename extension (ideally through configuration).

The “to-be” system shall provide the ability to the file size of uploaded files (ideally through configuration).

## **5.9. Search**

Search is a key feature in any system, and particularly so in CRS. Cases have long lives, and external events may bring a case to a user’s attention even when there are no Work Items for it in their queue.

It’s not uncommon for Clients to use a variety of aliases, making name search across Client Name records important. Also, a common challenge for manual processing of Client payments is interpreting the handwriting on a check – search is a powerful tool for tracking down Clients to ensure payments are applied to the correct Obligation.

### **5.9.1. “As-Is” System**

CRS provides very basic search capability. Entities searched for and attributes searched by as follows:

- Clients
  - Phonetic Client Name Search (see “Phonetic Name Search” section, below).
  - Name
  - SSN
  - ACES Client ID
- Obligations
  - AU#s
  - Obligation ID
- Narratives
  - Client Name
  - Client DOB
  - Client SSN

- Transactions
  - Date filtering
- History
  - Variety of search criteria, to locate cases that have moved to history, for research and/or to reactivate (n/a in to-be system).

### 5.9.2. “To-Be” System

1. The CRS Replacement system shall provide the ability to set up and/or configure the system to search for any of the entities defined in the Business Data Definition document, based on any of the criteria defined therein, across any of the defined relationships.

For example, the system must support search for Clients by Client Name. Client Name is separate entity (in the to-be system, a Client can have multiple names, which are stored as a separate entity).

2. Search criteria & results shall be configurable (see also “Configuration” Section).
3. Text searches shall support standard search wildcards (\*, “”, ?, etc.)
4. System shall provide the option for Phonetic searches, as defined in Phonetic Search, below.

### 5.9.3. Phonetic Search

Current system uses a version of Soundex (<http://en.wikipedia.org/wiki/Soundex>) for its Phonetic Name Search capability. It is most likely an old implementation of the algorithm, and may have some issues with how it has been implemented.

Users would find phonetic search useful in certain circumstances, however they do not rely on it in the current system due to a lack of faith in the usability of its results.

A replacement system shall include a phonetic name search capability, based on a standard, current phonetic search algorithm that comes with the underlying technology.

Integrated phonetic search capability thus should not need to be fully defined or developed from scratch, and can be easily documented (if not understood), based on publicly available usage specifications.

## 5.10. Data Context

The concept of “Case” in Client collections results in some data complexity. The system must support user navigation across data relationships in a variety of directions from a variety of entry points.

### 5.10.1. “As-Is” System

In a single screen flow, current CRS provides the ability to:

- Start with a Client
- View the Client’s details AND a list of all the Obligations for that Client
- Pivot to view the details for a given one of those Obligations AND a list of all the Clients for that obligation
- Pivot to view the Client details for a given one of those Clients.
- And so on.

The system also provides the ability to do the same thing starting from Obligation.

By providing this ability to navigate across Client-Obligation relationships, CRS supports the concept of “Case” for its users.

### 5.10.2. “To-Be” System

It will be critical for the CRS Replacement system to provide the same ability to navigate across the Client-Obligation relationships that comprise a “Case”, allowing the user to pivot their point of view from Client to Obligation, and vice-versa.

1. The CRS replacement system shall provide the ability to:
  - a. Start with a Client
  - b. View the Client’s details AND a list of all the Obligations for that Client
  - c. Pivot to view the details for a given one of those Obligations AND a list of all the Clients for that obligation
  - d. Pivot to view the Client details for a given one of those Clients.

2. The system also provides the ability to do the same thing starting from Obligation.

By providing this ability to navigate across Client-Obligation relationships, CRS supports the concept of “Case” for its users.

3. Data element groupings for screen designs, as well as screen flows for specific transactions, are design-level detail for implementation and are not addressed here.

Another important aspect of “Data Context” is the requirement for collections agents and accountants to be able to access “each other’s” data, and initiate workflows that involve each other and each other’s data.

4. In many cases, functions are initiated by RAs but are ultimately executed by Accounting because they have financial impact and require approval. **This is reveals a key feature and requirement of the CRS replacement system:**

- a. RAs must have complete visibility into both Case and Accounting data. The Accounting data is part of the Case.
- b. Accountants must have complete visibility into both Case and Accounting data. The Case Management Data is needed in order to complete accounting functions.
- c. An RA, who works on the case with a blend of Case Management and accounting data, must have the ability to initiate (request) an accounting function that can be approved by an Accountant, in the CRS replacement system, without additional data entry.

## **5.11. System-Initiated Processing**

### **5.11.1. Data & State Management**

Many of the functions and rules described in this document imply background processing by the system, either in real-time or periodically, in order to keep up with events. The line between technical design and business requirements here is not always clear. Some things that are derived in the requirements may be a simple lookup in the system because the derivation happened at a different time.

The “as-is” system executes its data management functions as part of the periodic batch programs that also process external data interfaces. There is very little real-time processing to support business logic – and much of the business logic is actually enforced externally by users.

In the “to-be” system, the timeliness of data & state management will largely depend on the technical design of the implementation, so low-level system-initiated data management processes are not detailed here.

However, at the non-technical level, the “to-be” system is expected to satisfy the requirements for status-driven business logic, as defined in the “Status-Driven Business Logic” section, in real time.

The technical design must consider whether a Status is set and stored every time any one of the criteria used to determine that status is updated. Or, is the Status always and only derived at the time it is needed, based on the condition of its criteria at that moment?

The business requirements, combined with Bus Data Definition, define the attributes that must be available to the user/system *at any given moment*. Whether those are derived at run-time (and how) is, in the end, a technical design decision.

For example, if a user enters a service date for a Client-Obligation, which satisfies the requirements for making that Client-Obligation collectible, then all of the system rules that depend on whether the Client-Obligation is collectible are expected to be “aware” of the Client-Obligation’s newly achieved state as soon as the change is committed.

Regardless of design, any CRS replacement system will have to perform a variety of periodic data management functions to ensure business rules are satisfied.

### **5.11.2. Event Types**

To provide maximum implementation flexibility, the CRS replacement system must support the following kinds of event-driven processing:

- System Events
  - Data Interface processing
  - Automatic report generation
  - Calendar events (new day, holidays, etc.)
- User-Triggered Events
  - Data CRUD (Create Read Update Delete)
  - User Actions & Events in Workflow

Any one of the above may either trigger an update that affects a rule, or itself require triggering of re-evaluation of a rule. Some events are scheduled. Others are triggered by user actions (where the user takes an action and the system does more than just what the user asked). Others are triggered by system events (resulting from scheduled processing).

### **5.11.3. Data Interfaces**

#### **5.11.3.1. “As-Is” System**

CRS resides in a complex web of interrelated systems. CRS functionality depends on data from some systems, and some systems depend on data from CRS. CRS also sends data to some systems to remain in compliance with policy and/or law.

An inventory and business description of the inbound and outbound CRS data interfaces can be found in the accompanying “As-Is Data Interfaces Specification” document.

#### **5.11.3.2. “To-Be” System**

1. All of the data interfaces defined in the “As-Is Data Interfaces Specification” document must be supported by the CRS Replacement system, unless otherwise specified in that document.
2. Interfaces shall be implemented such that upstream and downstream systems that currently interface with CRS require no work to update their processing (inbound or outbound) to interface with the CRS replacement system.

*Note: Some changes may arise as the result of improvements driven by the CRS implementation, or to fix existing issues in broken feeds, but for estimation purposes*

*assume all of the interfaces must be implemented as-is without impact to the interfacing system.*

- The following table identifies systems that CRS wishes to add to its interfacing capability, which do not currently exist in the “as-is” system.

<b>System</b>	<b>In/Out</b>	<b>Notes</b>	<b>Priority</b>
PACER	In	Bankruptcy status. (ER has this today.)	Med
SCOMIS	In	Notification of death (for Liens, etc.)	Med
BARCODE	In	“Fair Hearing” information SSPS Referrals (Including DEL)	Med
Forms Doc	In/Out	Either/Or with Walz	High
Walz Certified Mailings	In/Out	Either/Or with Forms Doc	High
Imaging	In/Out	Not for forms generation (rely on Forms Doc or, if internalized, then don’t need Imaging for forms). Need imaging for notifications of service, and other events that flow through imaging.	Med
Employment Security – Employees	In	Leverage existing SEMS feed.	High
Employment Security – Employers	In	Leverage existing SEMS feed.	High
AFRS Code Lookup	In	Real-time interface or nightly snapshot of centrally maintained inventory of valid AFRS codes. (Stored in CARS)	High

## **5.12. Spell-Check**

### **5.12.1. “As-is” System**

CRS does not have a spell check function.

### **5.12.2. “To-Be” System**

A CRS replacement system shall provide on-demand spell-checking functionality for text entry fields.

## 6. Business Process/Function Types

CRS supports a wide variety of business processes & functions to drive debt collection and accounting activities. The following sections identify groups of processes and the type of functionality required to support them, with example processes listed.

The processes listed in these sections must be supported by the features described in the “System Feature Requirements” section of this document, and are gated by logic described in the “Business Logic & Data” section of this document.

This is not to be considered a complete list of business functions that need to be supported by the system. However, any additional functions are expected to be supported by the features defined in the “System Features” section of this document and governable by the rules defined in the “Business Logic” section of this document.

For an expanded, implementation-independent, global view of CRS functions required in a CRS Replacement system, Please see the separate accompanying “CRS Replacement Use Cases” document.

*Note: The implementation details of these functions are not elaborated here as they depend heavily on the chosen system solution. Variables such as the data involved, the type of work item generated, the specific user authorizations settings required, events, etc. are expected to be configurable and not impactful for estimating purposes.*

### 6.1. Add/Edit Data

- Edit ability of data records and data elements is governed by User Authorizations (as described in the “User Authorizations” section).

*Note: Data element groupings for viewing, adding, and editing are an implementation detail to be defined at implementation.*

- Users must be provided with the ability to submit workflow requests for data updates they are not authorized to perform. These requests create action items for authorized users to complete the request.
- As defined in the “Workflow” system feature requirements section, the system shall provide two forms of data update request:
  - For predefined data update requests, the requested change shall be committed on approval, without requiring the approver to re-enter the data.
  - The system must also provide the ability to submit general data update requests as needed. General data update requests require the approver to do the data entry.
- Examples of processes that involve some form of add/edit data:
  - Manual Establishment of Overpayments

- Manual Payment Processing (Batch Transaction Entry)
- Refunds
- Recoupments
- Reapplication of misapplied Payments
- Notification of Modification of Debt
- Client Name Change
- Stop Collection pending DFI Confirmation
- Stop Collection pending Class Action
- Write-Off
- Address updates
- Status code updates
- Corrections to client information (ID, SSN, DOB)
- Reason/type codes
- Occur dates
- Letter dates
- ACES Coding

In many cases these functions are initiated by RAs but are ultimately executed by Accounting.

**This is reveals a key feature and requirement of the CRS replacement system:**

- RAs must have complete visibility into both Case and Accounting data. The Accounting data is part of the Case.
- Accountants must have complete visibility into both Case and Accounting data. The Case Management Data is needed in order to complete accounting functions.
- An RA, who works on the case with a blend of Case Management and accounting data, must have the ability to initiate (request) an accounting function that can be approved by an Accountant without additional data entry.

## **6.2. Generate Forms**

- The system must provide the ability to generate forms as described in the “Forms” System Features section.
- Many of the core business processes related to collections involve generating forms at some stage or another. Forms are central to the system.
- Examples of processes that are driven by or result in generation of a Form:
  - Send Demand Letter
  - Generate Statements
  - Issue Lien
  - Probate Creditor's Claim
  - Garnishment
  - Settlement
  - TOP Certification
  - Write-Offs

See “Appendix D – Forms” for a complete list of Forms.

### **6.3. System-Driven Processes**

- The system must perform system-driven functions, as described in the “System-Initiated Processing” System Features section.
- Many of the core business functions are driven by data interfaces initiated by the system. Data Interfaces are central to the system:
  - Validate AFRS Codes
  - Generate Statements
  - TOP Certification
  - Automated Establishment of Overpayments
  - Automated Payment Processing
  - Recoupments

See Data Interfaces for a complete list of Data Interfaces.

## **7. Business Logic & Data**

### **7.1. General Data Requirements**

Please reference the accompanying “Business Data Definition” document for details on both the as-is and to-be data business requirements, including attributes, relationships, and any new structures required to support the “to-be” business logic elaborated below.

### **7.2. Status-Driven Business Logic**

In the “as-is” CRS system, a Status Code is tracked as part of the Client-Obligation relationship. The functions of this code are widely varied and must be broken out in the “to-be” system.

Sometimes the status value describes what is preventing collection from happening. The preventative conditions sometimes belong to the Client, sometimes the Obligation, and sometimes the relationship between the two.

Sometimes the status value describes what the next action should be on the Obligation. For example, a “Deduction Delete Request” (requesting ACES to stop recoupments) is initiated by setting the Client-Obligation Status Code to 818.

In the “to-be” system, statuses are broken out to belong to the appropriate logical business data entity, not just the Client-Obligation. That way, decisions that depend on a combination of status information from across those entities can be derived, and the next appropriate action determined, without losing valuable status information every time the case status changes.

The following sections describe and define the status conditions, and status derivation rules, that drive much of the business logic of the system. The status values defined here are referenced from throughout the requirements.

#### **7.2.1. Client-Obligation Collection Status (“7 Points”)**

Collection action against a Client on a given Obligation requires that a broad set of criteria be satisfied. The criteria are referred to by the CEU as the “7 Points”, and can be paraphrased as follows:

1. The Client has been “served” notice of the Obligation
2. The date the Client was served is >90 days in the past
3. The Client is not on Public Assistance
4. The Client has been off Public Assistance for more than 90 days
5. The Obligation falls within the Statute of Limitations for collection
6. The Client is not bankrupt
7. The Client has no pending Admin Hearings for the Obligation

Some of the conditions are specific to [Client](#), others to [Obligation](#), others to the [Client-Obligation](#) relationship.

The following sections provide a framework for defining these conditions in terms of status variables, which are referenced by rule statements throughout the requirements.

### 7.2.1.1. **Deriving Client-Obligation Collection Status**

The following table defines the possible Collection States for a given Client on a given Obligation.

State	Description	Rule
Collectible	Collection action can legally be taken against the Client for the Obligation.	The value for each of the following statuses allows for collection: <ul style="list-style-type: none"> <li>• Client Assistance Status</li> <li>• Client Bankruptcy Status</li> <li>• Obligation Status</li> <li>• SOL Status</li> <li>• Service Status</li> <li>• Admin Hearing Status</li> </ul>
Collectible (Top Only)	All of the conditions for collection action are met, with one or more exceptions that do not affect collectability for TOP. (Note: Currently there are no such exceptions.)	The value for each of the following statuses allows for collection and/or "TOP Only": <ul style="list-style-type: none"> <li>• Client Assistance Status</li> <li>• Client Bankruptcy Status</li> <li>• Obligation Status</li> <li>• SOL Status</li> <li>• Service Status</li> <li>• Admin Hearing Status</li> </ul>
Not Collectible	Collection action cannot legally be taken against the Client for the Obligation.	The value for any one or more of the following statuses does not allow for collection: <ul style="list-style-type: none"> <li>• Client Assistance Status</li> <li>• Client Bankruptcy Status</li> <li>• Obligation Status</li> <li>• SOL Status</li> <li>• Service Status</li> <li>• Admin Hearing Status</li> </ul>



## 7.2.2. Client States

### 7.2.2.1. Client Assistance Status

Client Assistance status is very important both to RA-driven collections as well as to the federal TOP certification process.

There are specific laws around when the State can collect from a Client as a function of whether or not they are on any kind of assistance (Food, Cash, Medical).

Also, Federal TOP certification rules disallow TOP Certification for Clients who are on assistance and having some portion of their assistance “recouped” (deducted from their assistance payments).

State	Description	Triggered/Set By	Note	Collect
On Assistance – No Recoupment	The Client is currently receiving some form of Public Assistance, and has not had any of it recouped by ACES in the last 30 days.	Client has one or more Client Assistance History records of Status = “Active” AND No recoupment transactions have been recorded for the Client against any of their obligations in the last 30 days.	Client Assistance History records are created by the ACES Client Update Feed.  Recoupments are credit transactions posted to the Obligation during processing of the ACES Monthly Recoupments feed.  Same rules for SSPS (updates come through ACES for medical).	No
On Assistance – In Recoupment	The Client is currently receiving some form of Public Assistance, and HAS had some portion of it recouped by ACES in the last 30 days.	Client has one or more Client Assistance History records of Status = “Active” AND 1 or more recoupment transactions have been recorded for the Client against any of their obligations in the last 30 days.	Client Assistance History records are created by the ACES Client Update Feed.  Recoupments are credit transactions posted to the Obligation during processing of the ACES Monthly Recoupments feed.  Same rules for SSPS (updates come through ACES for medical).	No
Off Assistance <=90	The Client has not been	Client has no Client Assistance	“Change Date” is currently used, though it’s not the	No

State	Description	Triggered/Set By	Note	Collect
	receiving any form of Public Assistance for less than 3 months.	History records of Status = "Active" AND One or more of the "Change Date" values are <=90 days in the past.	best date.  Issues with ACES Client Update feed being actively pursued.	
Off Assistance >90	The Client has not been receiving any form of Public Assistance for more than 3 months.	Client has no Client Assistance History records of Status = "Active" AND None of the "Change Date" values are <=90 days in the past.		Yes

Note that while collection action may not be taken on a given Client who is on assistance, collection action may be taken on other Clients on the same Obligation – provided their [Client-Obligation Collection Status](#) allows it.

### 7.2.2.2. *Client Bankruptcy Status*

State	Description	Triggered/Set By	Note	Collect
Not in Bankruptcy	Client is not currently in the process of filing for bankruptcy.	Default		Yes
Chapter 7	Client is blocked from collection action by Chapter 7 bankruptcy filing.	User	Enhancement: Set by PACER feed.	No
Chapter 11	Client is blocked from collection action by Chapter 11 bankruptcy filing.	User	Enhancement: Set by PACER feed.	No
Chapter 13	Client is blocked from collection action by Chapter	User	Enhancement: Set by PACER feed.	No

State	Description	Triggered/Set By	Note	Collect
	13 bankruptcy filing.			

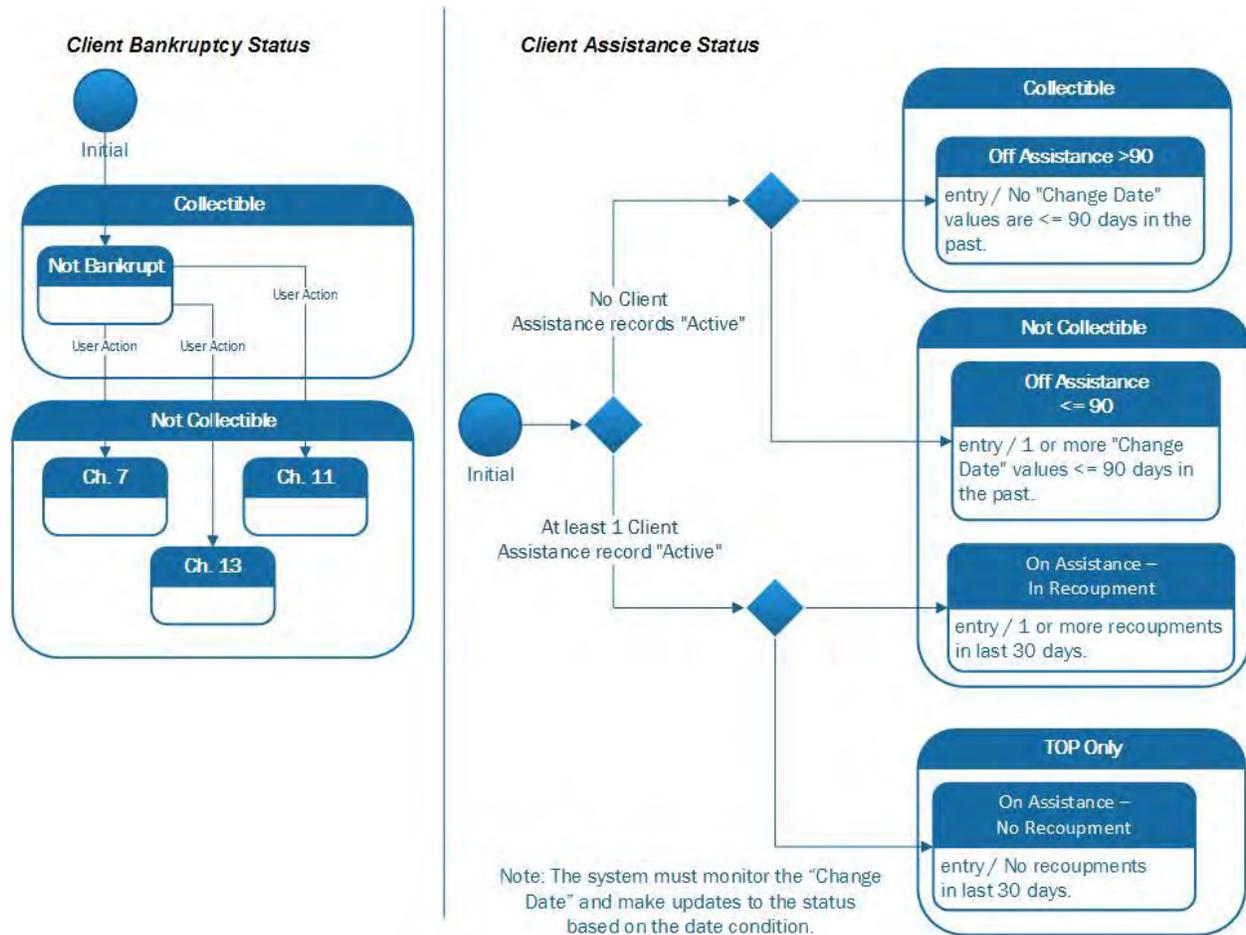


Figure 2 - Client States

### 7.2.3. Obligation States

State	Description	Triggered/Set By	Note	Collect
Active	Active Obligation, valid for collection	User (Default)		Yes
Paid	Paid off, no more collections	System event – Transaction results in <=0 balance		No
Stayed	Collection on hold pending one of specified	User	Capture Stay Reason: <ul style="list-style-type: none"> <li>- Pending Class Action</li> <li>- Pending OFA</li> </ul>	No

State	Description	Triggered/Set By	Note	Collect
	reasons.		Confirmation	
Cancelled	Collection cancelled for specified reason.	User OR (System event if†: - Not federal food debt AND (SOL Status = "SOL Exceeded" OR Obligation Balance <\$100)	Capture Cancellation Reason: - [Bad data] - [etc.]  (Cancellation is very different than Write-Off from an accounting point of view.)	No
Write-Off	Collection written off (i.e. Client is no longer responsible for the debt)	User	Capture Write-Off Reason: - Write-Off - Exception to Policy - Write-Off - No Authority to Collect - [etc.]	No

† For automated system-driven write-offs, the rules are currently in flux. The system does not perform it correctly today; the policy needs to be revisited. For example, there may be a requirement to perform no more than a certain # of write-offs per month.

### Obligation Status

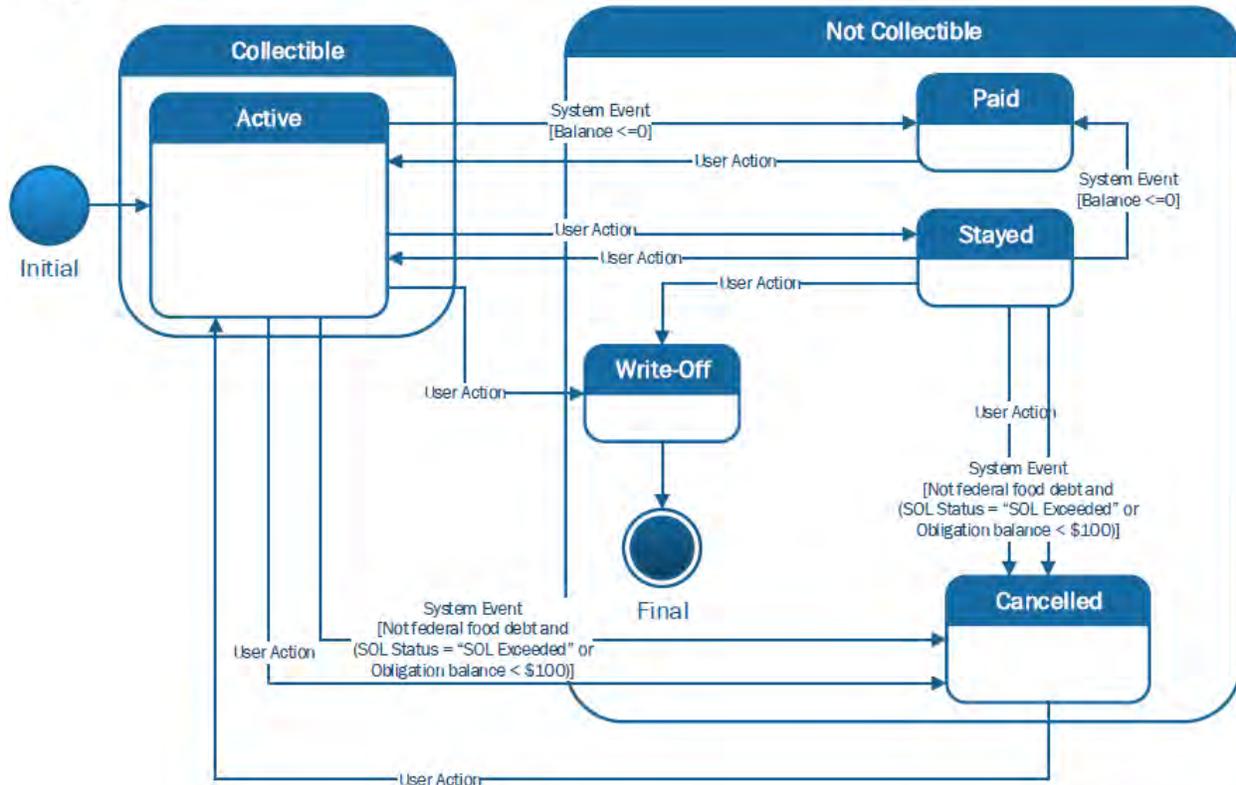


Figure 3 - Obligation States

## 7.2.4. Client-Obligation States

### 7.2.4.1. Client-Obligation Service Status

State	Description	Triggered/Set By	Note	Collect
Not Served	No proof of service in the file.	No service date.		No
Served <=90	Client has been served on the Obligation, and service date is less than or equal to 90 days prior to today.	Date of service (user entry).	Note: MODIS does not house the date as a data point. It has to be manually read and interpreted by a person from the scanned image (often ineligible).	No
Served >90	Service Date is more than 90 days prior to today	Date of service (user entry).		Yes

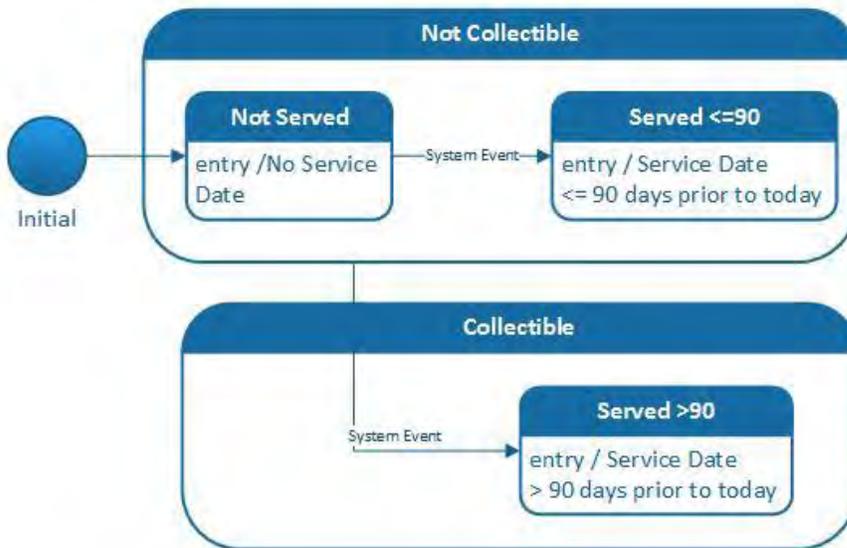
### 7.2.4.2. Administrative Hearing Status

State	Description	Triggered/Set By	Note	Collect
No Admin Hearing Pending	Client is not currently scheduled to receive an administrative hearing for the Obligation.	Default. Change to this state if scheduled hearing date is [configurable number of days] in the past. (Client-Obligation Admin Hearing Date) User may also set this value to pending/not pending manually at the same time as editing the date.	Future Enhancement: Set by BARCODE feed	Yes
Admin Hearing Pending	Client is currently scheduled to receive an administrative hearing for the Obligation.	User entry of scheduled hearing date (manual lookup in BARCODE) (stored as Client-Obligation Admin Hearing Date)	Future Enhancement: Set by BARCODE feed	No

The Client-Obligation Admin Hearing Date governs Admin Hearing Status:

- Default = no date, and status = “No Admin Hearing Pending.”
- If the user adds a date, and the date is in the future, status = “Admin Hearing Pending”.
- If the date has passed and is [configurable number of days] in the past, the system shall update the status to “No Admin Hearing Pending.”
- The user may also manually set the status to any value, provided it does not contradict the date (within the range allowable by the configurable number of days).
-

### Client-Obligation Service Status



### Administrative Hearing Status

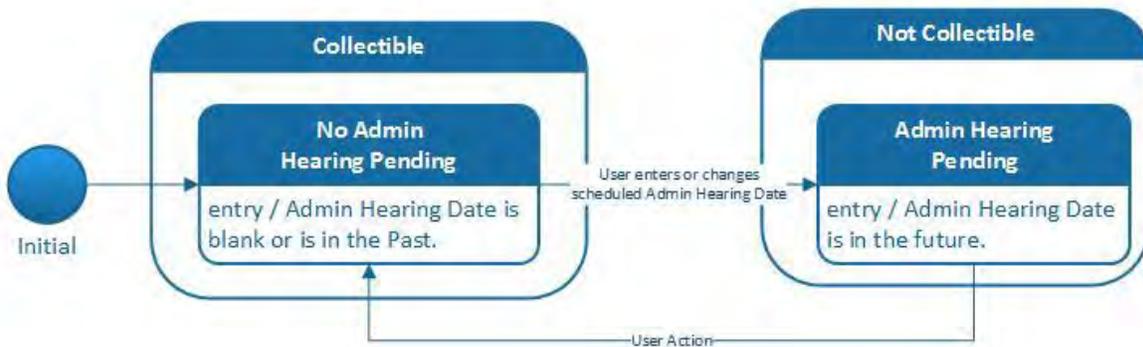


Figure 4 - Client-Obligation States

#### 7.2.4.3. Statute of Limitations Status

Statute of Limitations status rules are governed by a combination of law and policy. SOL information must provide the level of granularity necessary to support the rules.

The rules must be enforceable by the system, but also able to be overridden by the user – for example in the event of a court-ordered extension.

SOL Status is covered here in two parts. First, the rules for deriving the status are defined. Second, the meaning and use of each derived SOL Status are described.

#### 7.2.4.3.1. DERIVING STATUTE OF LIMITATIONS STATUS

The length of Statute of Limitations is set by law and currently varies depending on the presence/absence of a lien. Liens are specific to a single Client-Obligation, so the SOL date and status may vary across Clients on a given Obligation.

Also, the starting date for computing the SOL date can depend on a variety of dates, depending on whether the Client has been served, and the presence/absence of a lien.

The following table defines how the starting date of the SOL computation is determined, and the appropriate length as a function of whether a lien has been filed.

Served	Has Lien	Has Opmt Letter Date*	Start Date	SOL Duration	Status	Notes
No	No	No	n/a	n/a	No SOL	“Overpayment Letter Date” is an Obligation attribute in the ACES referrals feed (“IN-ACE-OP-LETTER-DATE”) No guarantee it will always contain a value.
No	No	Yes	Opmt Letter Date	<6 years ≥ 6 years	Within SOL SOL Exceeded	
Yes	No	n/a	Service Date	<6 years ≥ 6 years	Within SOL SOL Exceeded	
No	Yes	n/a	Lien Date	<20 years ≥ 20 years	Within SOL SOL Exceeded	Note: This is not a valid business scenario, but if the data condition can arise in the system, the system should handle it. If more than one Lien for single Client-Ob, use the latest Lien date.
Yes	Yes	n/a	Lien Date	<20 years ≥ 20 years	Within SOL SOL Exceeded	If more than one Lien for single Client-Ob, use the latest Lien date.

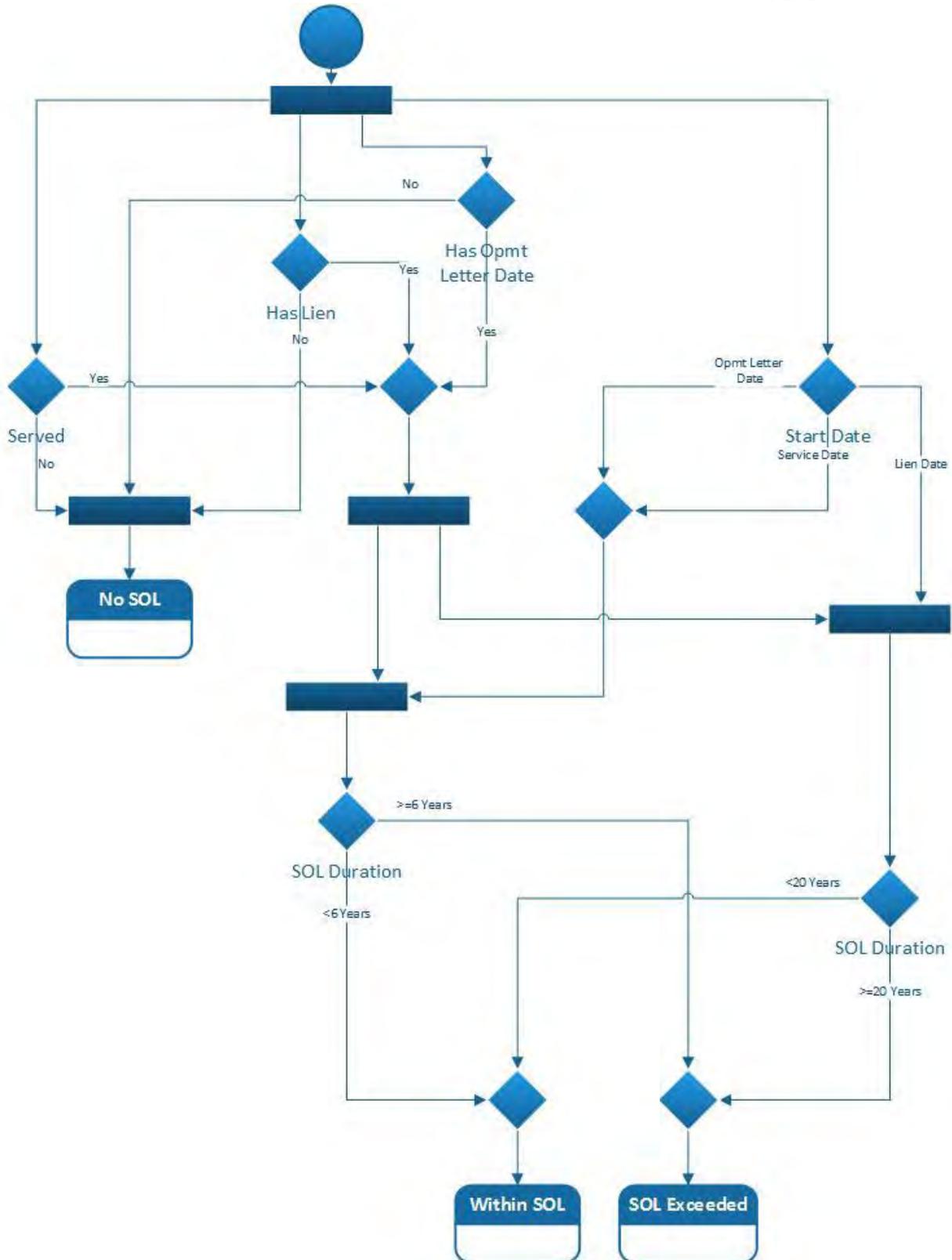


Figure 5 - SOL States

### 7.2.4.3.2. EVENT-DRIVEN DERIVATION OF SOL STATUS

System-derived SOL Status is a function of a number of variables. Changes to the variables trigger 're-evaluation' of SOL Status, as follows:

- Any change to SOL Date (manual or system-driven) can affect SOL status
- SOL Date derived when SOL Manual Override Flag = False and any one of the following events occurs:
  - Client-Obligation Service Status changes for the same Client-Ob
  - A Lien is added or removed on the same Client-Ob
  - A change is made in the Overpayment Letter date field for the Client-Ob (from ACES)

*(Note: Please see also "[System-Initiated Processing](#)" section for treatment of the division between technical design and business intent in this context.)*

### 7.2.4.3.3. SOL STATUS DESCRIPTIONS

The following table describes the possible Client-Obligation SOL statuses, including whether each is collectible.

State	Description	Triggered/Set By	Note	Collect
No SOL	Nothing has happened to trigger the start of the SOL clock (no service, no Lien)	Default		No
Within SOL	The Obligation has existed for less time than the limit defined by the laws that govern the Statute of Limitations for this type of debt.	See above sections for triggers and rules.		Yes
SOL Exceeded	The Obligation has existed for more time than the limit defined by the laws that govern the Statute of Limitations for this type of debt.	See above sections for triggers and rules.		No

### Statute of Limitations Status

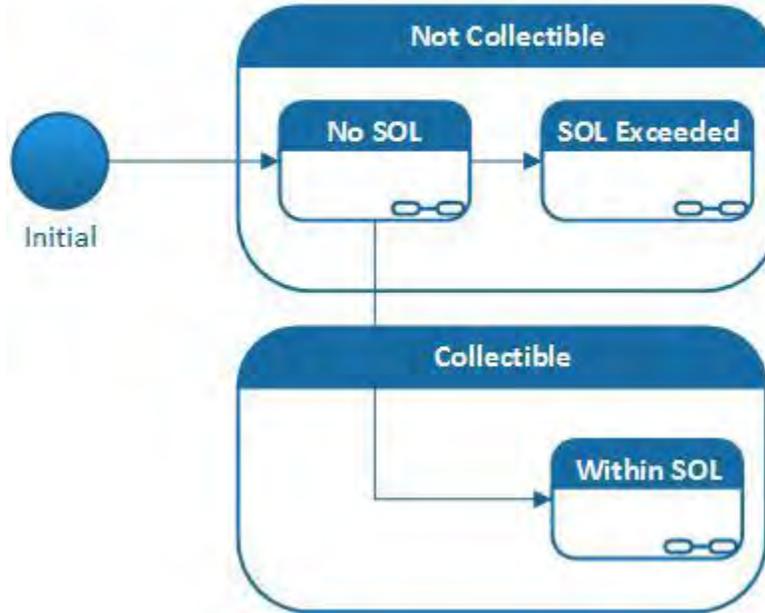


Figure 6 - SOL Status

#### 7.2.4.4. TOP Certification Status

TOP Certification Status is a Client-Obligation state that drives the TOP Certification process. It relies in part on [Client-Obligation Collection status](#), but is otherwise independent of Collections.

##### 7.2.4.4.1. TOP CERTIFICATION STATUS TABLE

The following table lists the possible Top Certification States in the lifecycle of a Client-Obligation, the event(s) that trigger each state (i.e. put the Client-Obligation in that state), the Data Captured *when transitioning into the state*, and the Valid transition-to State(s) from each state.

*Note: The complexity of this table lends itself particularly well to interpretation through a State Diagram. Please refer to Figure 7 - TOP Certification Status below to support interpretation of this table.*

State	Trigger Event	Data Captured †	Valid to-States
TOP Cert Ineligible	Any event that affects TOP Eligibility criteria and does NOT result in TOP Eligibility Status = "TOP Eligible" (see "TOP Eligibility Status", below)	n/a	<ul style="list-style-type: none"> <li>▪ TOP Eligible</li> </ul>
TOP Cert Eligible	When the TOP Certification Status = TOP Cert Ineligible,	n/a	<ul style="list-style-type: none"> <li>▪ TOP Cert Ineligible</li> <li>▪ Ready for Match</li> </ul>

State	Trigger Event	Data Captured †	Valid to-States
	<p>any event that affects TOP Eligibility criteria and results in TOP Eligibility Status = “TOP Eligible” (see “TOP Eligibility Status”, below)</p> <p>OR</p> <p>(TOP Cert Status = Match Error AND User makes correction and sets TOP Certification status back to “TOP Cert Eligible”)</p> <p>OR</p> <p>(TOP Cert Status = “Matched Pending Collectability” or “Matched Pending 30 Day Letter” AND Most recent Client-Obligation Address match date &gt;6 months in the past)</p>		
Ready for Match+++	<p>TOP Cert Status = TOP Cert Eligible AND Client-Ob Collection Status = “Collectible” or “Collectible (TOP Only)” AND Most recent Client-Obligation Address match date &gt;6 months in the past)</p>	n/a	<ul style="list-style-type: none"> <li>▪ TOP Cert Ineligible</li> <li>▪ Pending Address Match</li> </ul>
Pending Address Match	<p>System sends a match request using DI-11 based on the following criteria: (TOP Cert Status = TOP Cert Eligible AND Today &gt;= Service Date + 30)</p>	n/a	<ul style="list-style-type: none"> <li>▪ TOP Cert Ineligible</li> <li>▪ Match Error</li> <li>▪ Matched Pending Collectability</li> </ul>
Match Error	<p>FNS responds with a Match Error in DI-12</p>	<ul style="list-style-type: none"> <li>▪ TOP Match Error Code</li> </ul>	<ul style="list-style-type: none"> <li>▪ TOP Cert Ineligible</li> <li>▪ TOP Cert Eligible</li> </ul>
Matched Pending	<p>System receives a match from FNS in DI-12.</p>	<ul style="list-style-type: none"> <li>▪ Client Address Effective Date</li> </ul>	<ul style="list-style-type: none"> <li>▪ TOP Cert Ineligible</li> <li>▪ TOP Cert Eligible</li> </ul>

State	Trigger Event	Data Captured †	Valid to-States
Collectability <sup>++</sup>			<ul style="list-style-type: none"> <li>▪ Matched Pending 30 Day Letter</li> </ul>
Matched Pending 30 Day Letter	TOP Cert status = Matched Pending Collectability AND Collection Status = Collectible or Collectible (TOP Only)	n/a	<ul style="list-style-type: none"> <li>▪ TOP Cert Ineligible</li> <li>▪ TOP Cert Eligible</li> <li>▪ 30 Day Letter Sent – Certification Pending</li> </ul>
30 Day Letter Sent – Certification Pending	System sends 30 Day letter based on criteria defined in “TOP Activities - 30 Day Letter” section.	<ul style="list-style-type: none"> <li>▪ TOP 30 Day Letter Date</li> </ul>	<ul style="list-style-type: none"> <li>▪ TOP Cert Ineligible</li> <li>▪ TOP Certified</li> </ul>
TOP Certified	System includes the Client-Obligation in its collections feed to FNS (DI-14), indicating it is “certified” for offset, based on the following criteria: TOP Cert Status = “30 Day Letter Sent – Certification Pending” AND Today >= (TOP 30 Day Letter Date + 30 Days)	n/a	<ul style="list-style-type: none"> <li>▪ TOP Cert Ineligible</li> </ul>

† Data Captured is defined here in business terms. For detailed definitions and relationships, please reference the Business Data Definition document.

†† If a Client-Obligation no longer satisfies the conditions for Collectability at the time of a Match, the Match is good for 6 months before the Top Certification Status is reset.

††† The first time a Client-Obligation moves to TOP Ready for Match status, it triggers notification to the federal TOP system of the Client Obligation. TOP Cert Eligible means it is the right kind of debt, it is collectible, and is delinquent per federal rules.

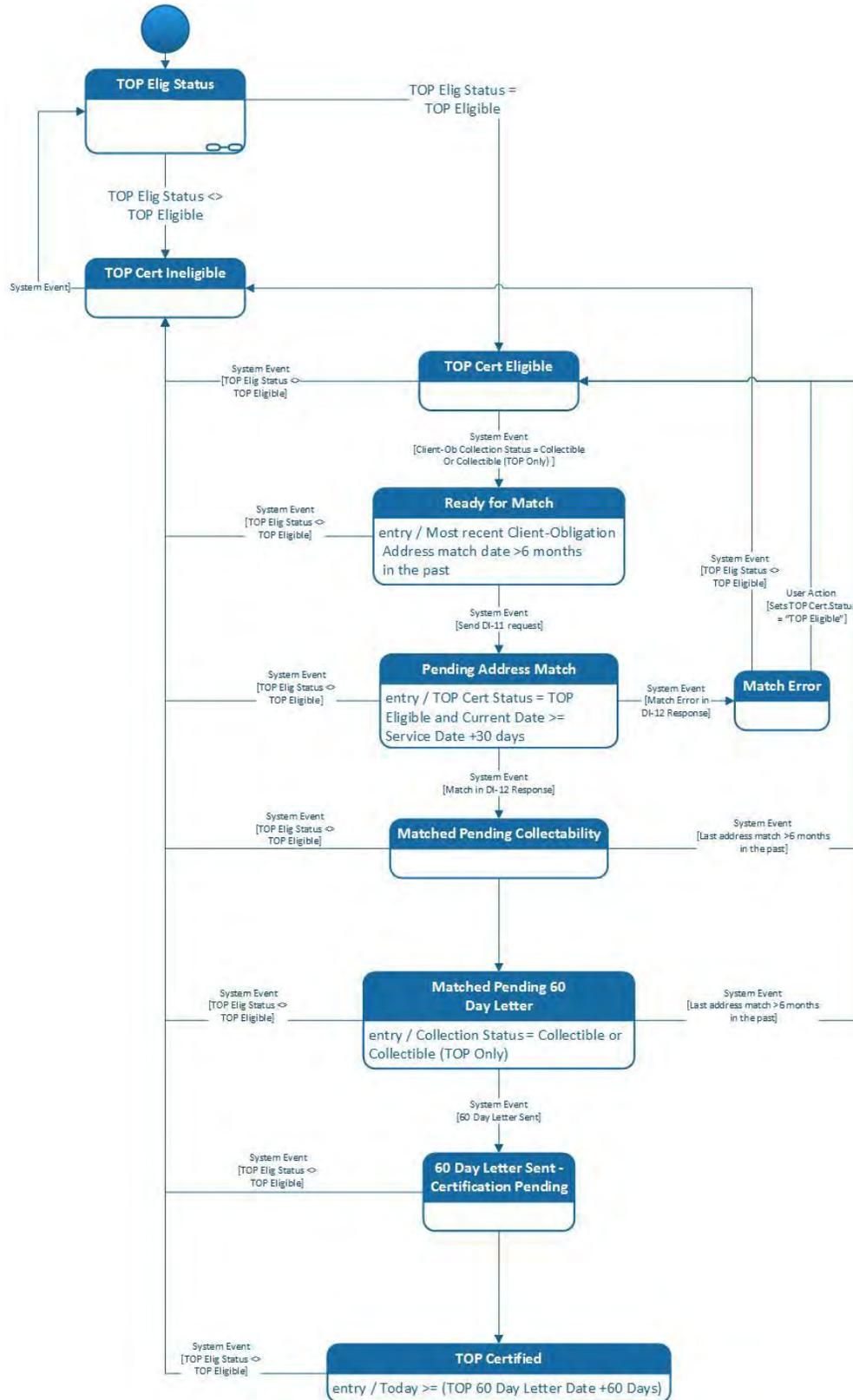


Figure 7 - TOP Certification Status

#### 7.2.4.4.2. TOP ELIGIBILITY STATUS

A given Client-Obligation's TOP Eligibility Status controls whether, and how, a given Client-Obligation is included in the TOP certification process.

The following defines the variables and conditions that must be met in order to achieve TOP Eligibility. If all of the conditions are NOT met for one or the other of the two states in this table, then the TOP Eligibility Status = **Not Eligible**.

Entity	Variable	TOP Eligibility Status	
		TOP Eligible	TOP Eligible - Letter Only <sup>+++</sup>
Obligation	Obligation Type	Federal Food Debt <sup>†</sup>	Federal Food Debt <sup>†</sup>
Obligation	Overpayment Reason	TOP Valid <sup>††</sup>	TOP Valid <sup>††</sup>
Obligation	Obligation Balance	>=\$25	>=\$25
Client-Obligation	Primary/Secondary	Primary	Secondary
Client-Obligation	Send Secondary TOP Letter Flag	n/a	TRUE
Client	Age	>=18 before Obligation Begin Date	>=18 before Obligation Begin Date

<sup>†</sup> This rule is governed by the "TOP Valid" attribute in the Overpayment Types lookup-table. See also "Lookup Tables" section in the Business Data Definition (currently Obligation Type 202)

<sup>††</sup> This rule is governed by the "TOP Valid" attribute in the Overpayment Reasons lookup-table. See also "Lookup Tables" section in the Business Data Definition (currently Obligation Reason 250 or 254 or 256 or 258 or 260 or 262)

<sup>+++</sup> The "TOP Eligible – Letter Only" status is only referenced when deciding whether to generate a 60-day letter for Secondary Clients when the Primary Client has been issued a letter.

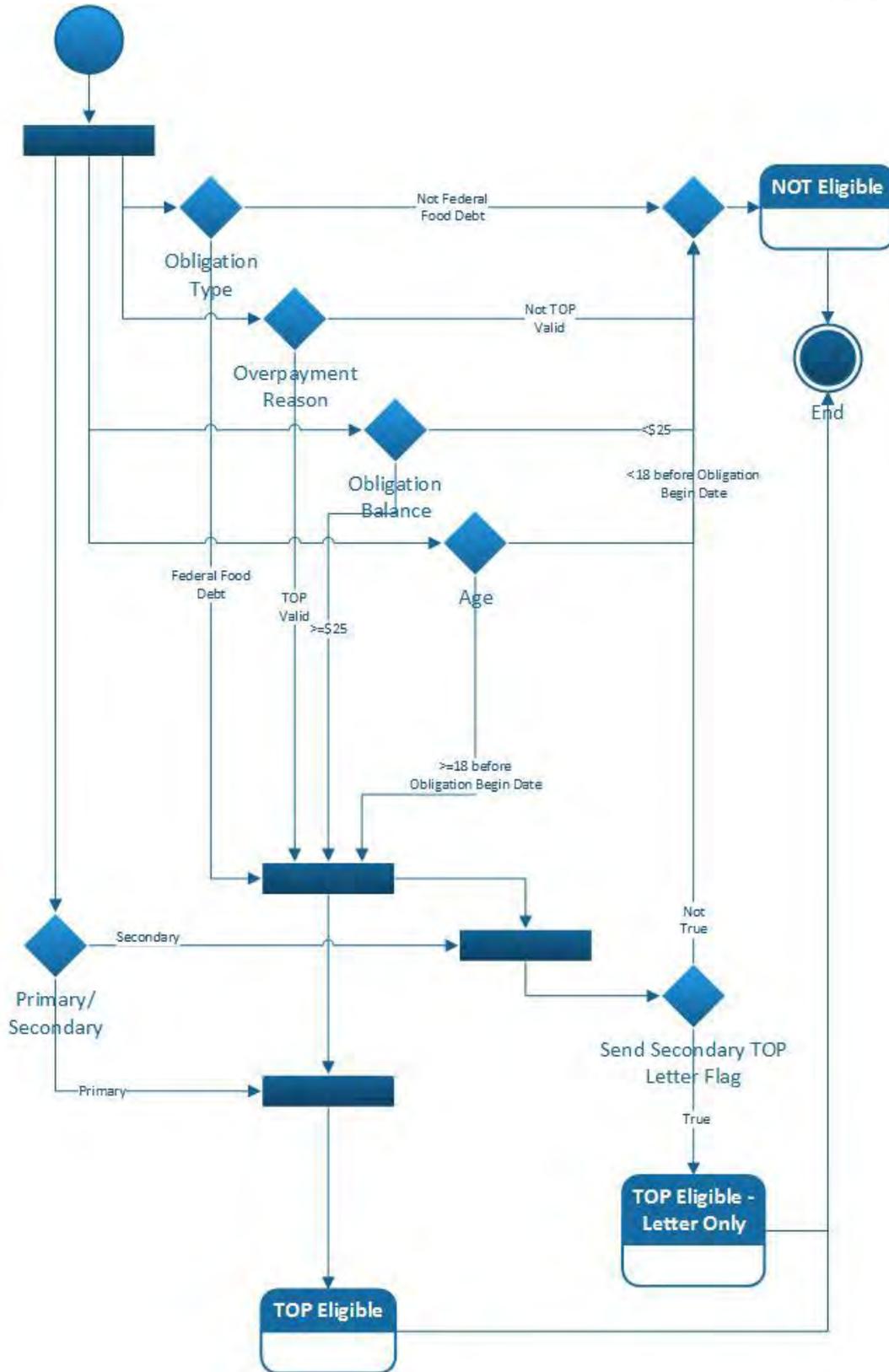


Figure 8 - TOP Eligibility Status

## 7.2.5. Transaction & Batch States

To support the Accounting Functions, Transactions & Batches (collections of Transactions), have their own lifecycles, which revolve around drafting, submitting, posting, and at the time of posting what account to post to.

While the basic principles of accounting are unchanged and must be satisfied by the “to-be” system as they are by the “as-is” system, it is expected that in the “to-be” system, the basic business logic around the Transaction & Batch lifecycles will undergo some revision to fit with the design of the chosen accounting system.

## 7.3. Collections

### 7.3.1. Payment Plans

Payment Plans are a new structure that does not exist in the “as-is” CRS system. A Payment Plan is a record of an expected repayment schedule established with (or for) the Client.

There are three existing collections processes that establish plans for repayment:

- Orders to Withhold (OWDs)
- Wage Assignments
- Repayment Agreements

The “as-is” system currently tracks only a small amount of data about these plans. For “repayment agreements”, the CRS mainframe database stores an amount and an agreement date.

The “to-be” system is expected to generate notifications when a Client falls behind in their payments, regardless of the process that led to the plan.

Sufficient data must be captured when the plan is established to support system-generated notifications of delinquent payments.

The following sections describe the processes that establish Payment Plans, including triggering events, states & transitions, and the data elements involved.

(Please also refer to the “Payment Plan” business data entity in the Business Data Definition document for additional details on how Payment Plan data fits together.)

#### 7.3.1.1. *Orders to Withhold and Deliver (OWDs)*

Orders to Withhold and Deliver (OWDs) are a mechanism used by RAs to require Employers to garnish wages from individuals who have not voluntarily agreed to repay their debt.

#### 7.3.1.1.1. “AS-IS” SYSTEM

- In the “as-is” CRS system, the OWD process is conducted almost entirely outside the system.
  - OWD forms are filled out manually in the Forms Doc system.
  - The only record kept in the system of the OWD process is a single Client-Obligation Status Code (806 – “Order to Withhold and Deliver”).
- CRS does include data structures and screens for tracking and managing OWD information, but those screens and data are not used. (Please reference the Business Data Definition document for details on the data elements & structures required to support OWDs in the “to-be” system.)

#### 7.3.1.1.2. “TO-BE” SYSTEM

- Forms
 

OWDs are generated as forms in the new system (see “Forms Generation” for FORM details). The forms involved are:

  - New OWDs – Three types:
    - 9-935 - OWD LOTTERY
    - 09-564 - OWD property, accounts (client)
    - 09-565 - OWD EARNINGS PROFIT & Gain
  - Amend or Cancel existing OWD
    - 09-569 - RELEASE OR AMEND OWD/PAYROLL DED
  - Alert Employer of overdue garnishment
    - 9-904 - NON PAYMENT OWD
- OWD Types
 

Because there are three different forms that can be used to set up an OWD, and potentially different processing rules depending on which was used, the OWD record in the system must keep a record of OWD Type.

  - Lottery
    - Initiated by the form: 9-935 - OWD LOTTERY
    - Establishes a **one-time** garnishment of all available funds *up to the total repayment amount specified*.
  - Property/Accounts
    - Initiated by the form: 09-564 - OWD property, accounts (client)
    - Establishes a **one-time** garnishment of all available assets in value *up to the total repayment amount specified*.
  - Earnings, Profit, & Gain
    - Initiated by the form: 09-565 – OWD EARNINGS PROFIT & Gain
    - Establishes a **periodic** garnishment up to the total repayment amount specified.
- Employment History
  - OWDs are related to Employment History.

- CRS receives a periodic feed from Employment Security that lists paychecks issued by every employer in the state to every employee in the state.
- When CRS finds a matching Client in that feed that reflects a change in employment status, it creates a record and notification to the RA of the change.
- Every Client OWD is specific to an Employer, so that if future matches to the same Employer are found after termination, the OWD may be reactivated.
- By law an OWD is valid for 12 months from the employee's termination date. This makes it easier to maintain OWDs for Clients who are cycle through employers throughout a given year, for example seasonal workers.
- If an OWD is issued to an Employer for a Client who then leaves for another job, and then the Client returns to that Employer in the following year, the ES Match feed will record these as 3 separate employment events. In this case the original OWD applies equally to the 1<sup>st</sup> and 3<sup>rd</sup> Employment event.
- Selecting Obligations
  - OWDs are specific to a single Client, a single Employer, and one or more of the Client's Obligations. This gives RAs the flexibility to include/exclude certain Obligations, and can also be used to simplify payment priority for applying payments (garnishments) to the correct Obligations.
  - There is a wide body of rules (policy, legal, etc.) governing what types of Obligations, under what circumstances, can be collected on through an OWD. Those rules are expected to be defined, known, and administered by the RA, not the system.
  - RAs must be able to choose all or subset of Obligations at the time of generating the OWD.
  - When OAS processes payments from Employers (i.e. Garnishments), the system must prevent the user from applying payments to Obligations not covered by the OWD (see also "Payment Processing" for this rule).
- System Events
  - RA notifications must be generated when payments are not received in a given month for Clients with active OWD(s). (Note: See "System Events" for a complete list of such events.)
  - The system can also administer the OWD Status as a function of certain triggers, as described in OWD states, below.

*Note: At implementation, new rules will be required for when to create Assistance History. For example, when a new Client is created, record(s) need to be created for the AU & Assistance Type; the same for a new Obligation on an existing Client (if no record already exists for that AU & Type).*

### **7.3.1.1.3. OWD STATES**

The following table lists the possible states in the lifecycle of an OWD, the event(s) that trigger each state (i.e. put the OWD in that state), the Data Captured *when transitioning into the state*, and the Valid transition-to State(s) from each state.

State	Trigger Event	Data Captured †	Valid to-States
Issued – Pending Employer Response	User-generated OWD form	<ul style="list-style-type: none"> <li>▪ OWD Type</li> <li>▪ Total Repayment Amount</li> <li>▪ Employer</li> <li>▪ Issue Date</li> <li>▪ Activation Date</li> <li>▪ Payment Plan Details</li> </ul>	<ul style="list-style-type: none"> <li>▪ Issued – Overdue Employer Response</li> <li>▪ Rejected by Employer</li> <li>▪ Active</li> </ul>
Issued – Overdue Employer Response	System event: 45 calendar days following date of issuance (Note: law is 20 days. Add 20 for mail & imaging)	n/a	<ul style="list-style-type: none"> <li>▪ Rejected by Employer</li> <li>▪ Active</li> </ul>
Rejected by Employer	User action on OWD Record upon receipt of notification from Imaging system	<ul style="list-style-type: none"> <li>▪ Rejection Date</li> <li>▪ Rejection Reason</li> </ul>	n/a – ending state
Active††	User action on OWD Record upon receipt of notification from Imaging system that Employer responded affirmatively OR Reactivated by user as the result of re-employment within 12 months of termination (or for some other reason (e.g. Stayed)) OR System event: OWD Status = “Stayed” AND Stay End Date is in the past (<today).	<ul style="list-style-type: none"> <li>▪ Activation Date (first time only)</li> <li>▪ Payment Plan Details (if changed)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Employee Terminated</li> <li>▪ Stayed</li> <li>▪ Paid</li> <li>▪ Active – Pending Employer Response to Amendment</li> <li>▪ Active – Overdue Employer Response to Amendment</li> </ul>
Active – Pending Employer Response to Amendment	User-generated OWD Amendment form	<ul style="list-style-type: none"> <li>▪ Total Repayment Amount</li> <li>▪ Amendment Date</li> </ul>	<ul style="list-style-type: none"> <li>▪ Active – Overdue Employer Response to Amendment</li> <li>▪ Rejected by Employer</li> <li>▪ Active</li> </ul>
Active – Overdue Employer Response to Amendment	System event: 40 calendar days following date of amendment issuance (Note: law is 20 days. Add 20 for mail & imaging)	n/a	<ul style="list-style-type: none"> <li>▪ Rejected by Employer</li> <li>▪ Active</li> </ul>

	Note: Original OWD remains in effect even if no response.		
Employee Terminated	User action based on any source of information	<ul style="list-style-type: none"> <li>▪ Termination Date</li> </ul>	<ul style="list-style-type: none"> <li>▪ Expired</li> <li>▪ Active (note: also clear Termination Date on this event)</li> </ul>
Expired	System event: OWD Status = "Employee Terminated" AND OWD Termination Date >= 12 months ago	<ul style="list-style-type: none"> <li>▪ Expired Date</li> </ul>	n/a – ending state
Stayed	User puts Withholding on hold – can be indefinite or for a specified period (prevents RA alerts when payments aren't received)	<ul style="list-style-type: none"> <li>▪ Hold Reason</li> <li>▪ Start Date</li> <li>▪ End Date (if any)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Active</li> <li>▪ Employee Terminated</li> <li>▪ Paid</li> </ul>
Paid	System event: Total payments received since Activation Date >= Payment Plan Repayment Amount.  <i>(Note: Does not necessarily mean all Obligations related to the OWD have 0 balance.)</i>	n/a	n/a – ending state

† Data Captured is defined here in business terms. For detailed definitions and relationships, please reference the Business Data Definition document.

†† "Overdue" is not included as an OWD state, since whether a payment is due from the client is only partially a function of the OWD. Many other factors also influence collectability. See "Overdue OWDs" for detailed rules for identifying overdue garnishments.

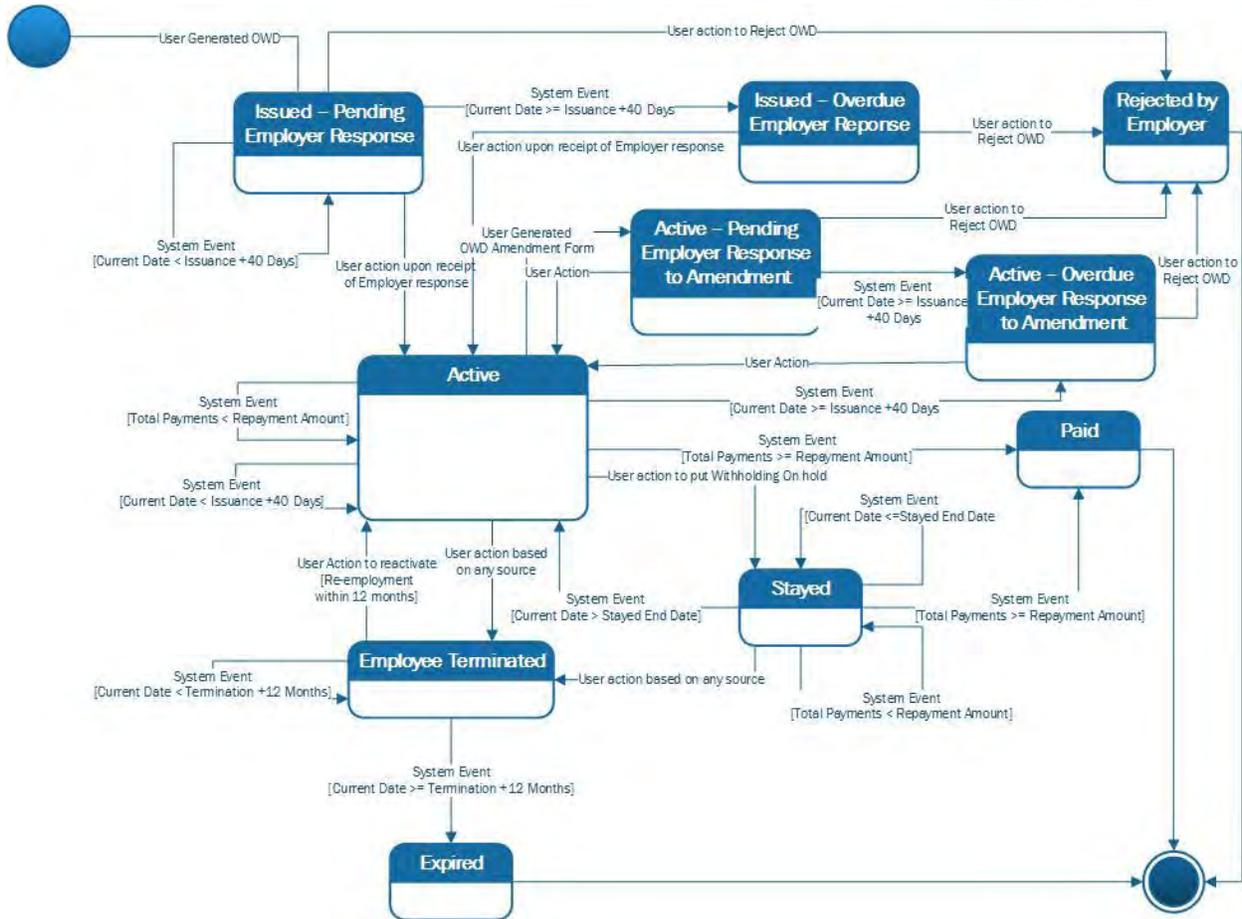


Figure 9 - OWD State Transitions

#### 7.3.1.1.4. OVERDUE OWDs

An OWD garnishment is overdue when all of the following conditions are met:

- Client-Obligation Status = Collectible
- OWD Status = Active
- Sum of garnishment payments received in the last 40 days < sum of monthly pmt amts on active OWDs

Overdue OWD determination shall be scheduled as follows:

- Run on the 10<sup>th</sup> of every month to allow for Imaging.
- Check for payments over last 40 days (through 1<sup>st</sup> of prior month, including first 10 days of this month)

#### 7.3.1.1.5. RE-EMPLOYMENT ALERT

System shall generate a Re-Employment Tickler when all of the following conditions are met:

- OWD Status = "Employee Terminated"
- ES Match is found *for the same employer*

In this event, don't change status, but do generate the Re-Employment Tickler.

#### **7.3.1.1.6. ZERO-BALANCE ALERT**

System shall generate a Zero-Balance Tickler when all of the following conditions are met:

- OWD Status = "Paid"

#### **7.3.1.2. Wage Assignments**

A Wage Assignment is similar to an OWD, in that it results in wages being deducted from an Client's paycheck and sent to the state directly by the employer (i.e. a garnishment).

A Wage Assignment differs from an OWD in that it is voluntarily agreed to by the Client, whereas an OWD is an involuntary order to the employer mandated by law.

Wage Assignments are negotiated between the Client and RA. They are not very common. They are typically used in cases where either an OWD cannot be used (for example a Tribal employer), or in cases where the Client simply wishes to avoid having an OWD issued to their employer.

#### **7.3.1.2.1. "As-Is" SYSTEM**

- As with OWDs, the Wage Assignment process currently happens almost entirely outside the system.
  - WA forms are filled out manually in the Forms Doc system.
  - The only record kept in the system of the WA process is a single Client-Obligation Status Code (813 – "Wage Assignment on File" *Note: This code is currently also used by Enforcement to prevent TOP collection when any kind of repayment agreement is on file to pay back Food debt*).
- The Wage Assignment process steps are as follows:
  1. RA generates Form 18-386 "Payroll Deduction" and sends to Client
  2. Client completes the Payroll Deduction form and returns to OFR
  3. RA receives notice of response through Imaging mailbox
  4. RA generates Form 06-138 "Voluntary Assignment of Earnings", and sends as the cover letter, with the completed Payroll Deduction form, to the Employer.
- No Employer response/agreement is required.
- Employer payments from Wage Assignments are treated by OAS as garnishment transactions.

#### **7.3.1.2.2. "TO-BE" SYSTEM**

- The following documents drive the Wage Assignment process and must be generated as forms in the new system (see "Forms Generation" for details).
  - 18-386 – Payroll Deduction

- 06-138 – Voluntary Assignment of Earnings
- As with OWDs, WA’s are related to Employment History.
- CRS receives a periodic feed from Employment Security that lists paychecks issued by every employer in the state to every employee in the state.
- When CRS finds a matching Client in that feed that reflects a change in employment status, it creates a notification of the change.
- Unlike OWDs, Wage Assignments do not have a legal expiration period from date of termination. It’s up to the RA to manage the WA status.
- There is no rule to automatically “reactivate” the Wage Assignment for a terminated employee who returns to work at the same Employer. Since WA’s are voluntary, unlike OWDs they do not ‘compete’ with garnishments for Child Support, federal taxes, etc.
- Wage Assignments are specific to a single Client, and one or more of their Obligations. This gives RAs the flexibility to include/exclude certain Obligations, and can also be used to simplify payment priority for applying payments (garnishments) to the correct Obligations.
- Unlike OWD, there is no 12 month expiration from termination rule for Wage Assignments.
- Unlike OWD, there is no legal basis for an Employer to reject a Wage Assignment.
- Payments are expected to be received based on the schedule established in the Payment Agreement generated by the Wage Assignment.
- RA notifications must be generated when payments are not received in a given month for Clients with active Wage Assignment(s), based on the Payment Agreement generated by the Wage Assignment.

### 7.3.1.2.3. WAGE ASSIGNMENT STATES

The following table lists the possible states in the lifecycle of a Wage Assignment, the event(s) that trigger each state (i.e. put the WA in that state), the Data Captured *when transitioning into the state*, and the Valid transition-to State(s) from each state.

State	Trigger Event	Data Captured †	Valid to-States
Issued – Pending Employee Response	User-generated WA form	<ul style="list-style-type: none"> <li>▪ Employer</li> <li>▪ Issue Date</li> <li>▪ Activation Date</li> <li>▪ Payment Plan Details</li> </ul>	<ul style="list-style-type: none"> <li>▪ ALL</li> </ul>
Active††	User action to publish Form 06-138 “Voluntary Assignment of Earnings”. OR User action on WA Record for any reason. OR System event: WA Status =	<ul style="list-style-type: none"> <li>▪ Activation Date (first time only)</li> <li>▪ Monthly Pmt Amt (if changed)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Employee Terminated</li> <li>▪ Deferred</li> <li>▪ Canceled by Employee</li> <li>▪ Paid</li> </ul>

State	Trigger Event	Data Captured †	Valid to-States
	“Deferred” AND Stay End Date is in the past (<today).		
Employee Terminated	User action based on any source of information	<ul style="list-style-type: none"> <li>▪ Termination Date</li> </ul>	<ul style="list-style-type: none"> <li>▪ Active (note: also clear Termination Date on this event)</li> </ul>
Deferred	User puts Withholding on hold – can be indefinite or for a specified period (prevents RA alerts when payments aren’t received)	<ul style="list-style-type: none"> <li>▪ Hold Reason</li> <li>▪ Start Date</li> <li>▪ End Date (if any)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Active</li> <li>▪ Employee Terminated</li> <li>▪ Paid</li> </ul>
Canceled by Employee	User action based on any source of information	<ul style="list-style-type: none"> <li>▪ Cancellation Date</li> </ul>	n/a – ending state
Paid	System event: Total payments received since Activation Date >= Payment Plan Repayment Amount.  <i>(Note: Does not necessarily mean all Obligations related to the OWD have 0 balance.)</i>	n/a	n/a – ending state

† Data Captured is defined here in business terms. For detailed definitions and relationships, please reference the Business Data Definition document.

†† “Overdue” is not included as a state, since whether a payment is due from the client is only partially a function of the Wage Assignment. Many other factors also influence collectability. See “System-Initiated Events” for detailed rules for identifying overdue Wage Assignment payments.

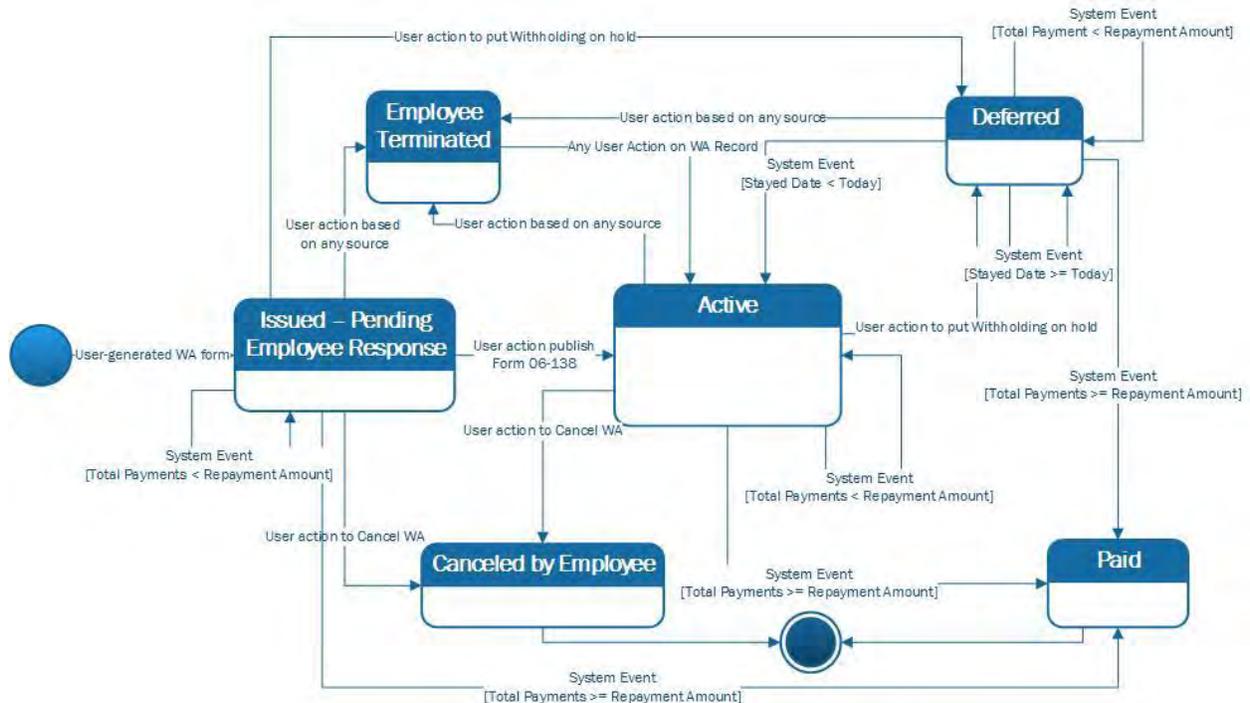


Figure 10 - WA State Transitions

### 7.3.1.3. Voluntary “Direct-Pay” Payment Agreements

A common repayment arrangement is for the Client to voluntarily enter into a “Direct-Pay Payment Agreement” when contacted directly by an RA. The Client agrees to pay a set amount periodically over a defined period to repay the Obligation.

#### 7.3.1.3.1. “As-Is” SYSTEM

- To establish a record of the agreement, the RA generates a form, OFR-023 – “Payment Agreement”, and sends it directly to the Client for signature. The form is not a legal document and is not enforceable.
- The RA also records a dollar amount and the date the agreement was established. All tracking and follow-up related to the Repayment Agreement is manual.

#### 7.3.1.3.2. “To-BE” SYSTEM

- To establish a record of the agreement, the RA generates a form, OFR-023 – “Payment Agreement”, and sends it directly to the Client for signature. The form is not a legal document and is not enforceable. *(Note: Per auditor all of the client’s debts should be included on the paper document, as it may still be introduced into legal proceedings.)*
- A voluntary agreement to repay debt directly shall be captured as a Client Payment Plan of Type = “Direct Pay”.

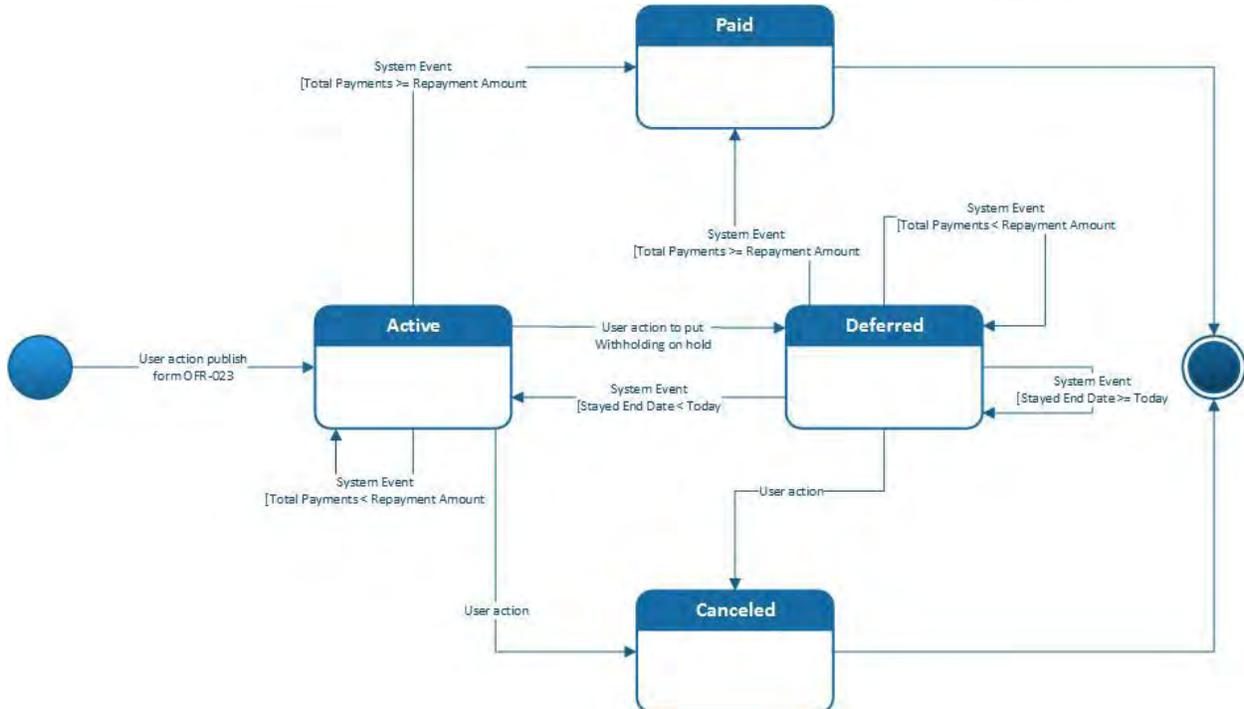
### 7.3.1.3.3. DIRECT-PAY PAYMENT PLAN STATES

The following table lists the possible states in the lifecycle of a Direct Pay Payment Plan, the event(s) that trigger each state (i.e. put the Plan in that state), the Data Captured *when transitioning into the state*, and the Valid transition-to State(s) from each state.

State	Trigger Event	Data Captured †	Valid to-States
Active††	User action to publish Form OFR-023 – “Payment Agreement” OR User action on Plan Record for any reason. OR System event: Direct-Pay Payment Plan Status = “Deferred” AND Stay End Date is in the past (<today).	<ul style="list-style-type: none"> <li>▪ Activation Date</li> <li>▪ Payment Plan Details</li> </ul>	<ul style="list-style-type: none"> <li>▪ Deferred</li> <li>▪ Canceled</li> <li>▪ Paid</li> </ul>
Deferred	User puts Withholding on hold – can be indefinite or for a specified period (prevents RA alerts when payments aren’t received)	<ul style="list-style-type: none"> <li>▪ Stay Reason</li> <li>▪ Start Date</li> <li>▪ End Date (if any)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Active</li> <li>▪ Canceled</li> <li>▪ Paid</li> </ul>
Canceled	User action based on any source of information	<ul style="list-style-type: none"> <li>▪ Cancellation Date</li> </ul>	n/a – ending state
Paid	System event: Total payments received since Activation Date >= Payment Plan Repayment Amount.  <i>(Note: Does not necessarily mean all Obligations related to the OWD have 0 balance.)</i>	n/a	n/a – ending state

† Data Captured is defined here in business terms. For detailed definitions and relationships, please reference the Business Data Definition document.

†† “Overdue” is not included as a state, since whether a payment is due from the client is only partially a function of the Plan. Many other factors also influence collectability. See “System-Initiated Events” for detailed rules for identifying overdue payments.



**Figure 11 - Direct Pay State Transitions**

### 7.3.2. Liens

A Lien is a legal form of security interest granted over an item of property to secure the payment of obligation. RAs use Liens to ensure collection when, for example, a Client’s real estate property is sold for profit.

The existence of a Lien can also extend the statute of limitations on collection of an Obligation, preserving the collectability of an Obligation for a longer period.

A Lien is initiated by generating a form, which is sent to the County for filing.

The system must maintain a record of certain key Lien attributes, because Liens can affect certain system logic (see also “Statute of Limitation” status).

While Liens are typically issued to a single individual, it is possible to issue a single Lien to more than one person under certain circumstances, provided they are also responsible for all of the Obligations included under the Lien. Thus a Lien is specific to one or more Clients on one or more of the Obligations for which those Clients share responsibility.

#### 7.3.2.1. “As-Is” System

- There are three forms (housed in “Forms Doc”) used to drive the Lien process:
  - 9-019a – NOTICE AND STATEMENT OF LIEN (new Lien)

- 9-963 – LIEN RELEASE (end/release Lien)
- 9-040A – Notice and Amendment of Lien
- The next day the support unit (OSU) opens the electronic saved file and sends the form to the client and the county to file it.
- When the Lien is recorded by the County and the county responds with the Lien recording information, the RA receives a notification in their MODIS inbox containing an image of the County’s response, including the Recording Number, and the date the Lien was recorded by the County. Recording Date is the legal effective date of the Lien.
- The RA records the Lien information manually in the system.

### **7.3.2.2. “To-Be” System**

- The following documents drive the Lien process and must be generated as forms in the new system (see “Forms Generation” for details).
  - 9-019a – NOTICE AND STATEMENT OF LIEN (new Lien)
  - 9-963 – LIEN RELEASE (end/release Lien)
  - 9-040A – Notice and Amendment of Lien
- From within the context of a given Case, the system must provide the user with the ability to:
  - Initiate a Lien for a given Client, using the appropriate form
  - Include any other Client who shares responsibility on one or more Obligations with the original Client
  - Include one or more Obligations for which responsibility is shared by the selected Client(s)
  - Specify the amount of the Lien, up to the total amount of the included Obligations.
- When the Lien is recorded by the County and the county responds with the Lien recording information, the RA will continue to receive a notification in their MODIS inbox containing an image of the County’s response, including the Recording Number, and the date the Lien was recorded by the County. Recording Date is the legal effective date of the Lien.
- The RA records the Lien information manually in the system.
- RAs can only file Liens in WA state. If a Lien is required in another state the RA must contact representatives from that state.
- Lien amendments are typically performed to increase the Lien amount when new Obligations arise, without having to go through the process of issuing a new Lien.

### 7.3.2.3. **Lien States**

The following table lists the possible states in the lifecycle of a Lien, the event(s) that trigger each state (i.e. put the Lien in that state), the Data Captured *when transitioning into the state*, and the Valid transition-to State(s) from each state.

State	Trigger Event	Data Captured †	Valid to-States
Draft	User action to publish form “9-019a – Notice and Statement of Lien”, but save without completing the process.	<ul style="list-style-type: none"> <li>▪ Lien Type</li> <li>▪ Lien Filed Date</li> <li>▪ Lien Amount</li> <li>▪ County</li> <li>▪ State (always WA)</li> <li>▪ Client(s)</li> <li>▪ Obligation(s)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Filed</li> <li>▪ Cancelled</li> </ul>
Filed	User action to publish form “9-019a – Notice and Statement of Lien”, and file it.	<ul style="list-style-type: none"> <li>▪ Lien Type</li> <li>▪ Lien Filed Date</li> <li>▪ Lien Amount</li> <li>▪ County</li> <li>▪ State</li> <li>▪ Client(s)</li> <li>▪ Obligation(s)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Active</li> <li>▪ Cancelled</li> </ul>
Active	User action to activate the Lien as the result of a notification received through MODIS messaging.	<ul style="list-style-type: none"> <li>▪ Lien Amount (if changed)</li> <li>▪ County Recording Date</li> <li>▪ Lien Recording Number</li> </ul>	<ul style="list-style-type: none"> <li>▪ In Amendment</li> <li>▪ Released</li> </ul>
In Amendment	User action to publish Lien amendment form.	<ul style="list-style-type: none"> <li>▪ Lien Filed Date</li> <li>▪ Lien Amount</li> <li>▪ Client(s)</li> <li>▪ Obligation(s)</li> </ul>	<ul style="list-style-type: none"> <li>▪ Active</li> <li>▪ Released</li> </ul>
Released	User action to publish form “9-963 – Lien Release”.	<ul style="list-style-type: none"> <li>▪ Lien Release Date</li> </ul>	n/a
Cancelled	User action to cancel either a draft or filed Lien record (i.e. a Lien that has not been officially recorded).		n/a

† Data Captured is defined here in business terms. For detailed definitions and relationships, please reference the Business Data Definition document.

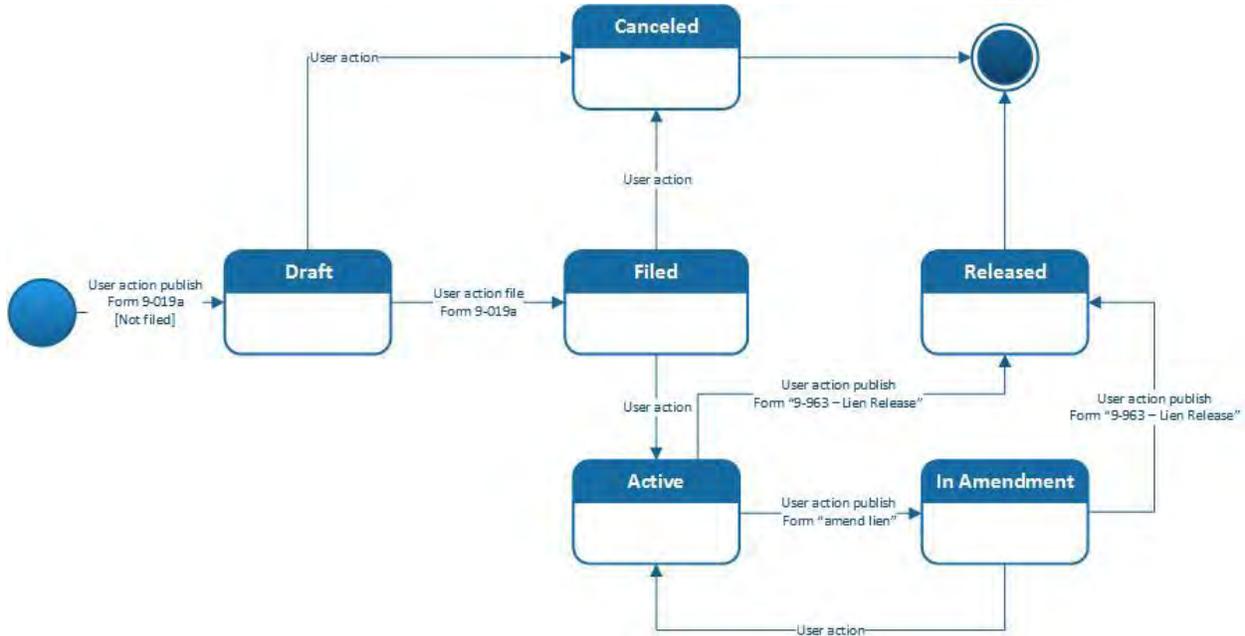


Figure 12 - Lien State Transitions

#### 7.3.2.4. ***Liens and Statute of Limitations (SOL) Status***

- The presence/absence of Liens can affect a Client-Obligation’s Statute of Limitations Status.
  - Liens in the following states constitute the “presence” of an active Lien for use in the SOL Status derivation rules:
    - Active
    - Pending Amendment
  - The County Recording Date is the legal effective date of the Lien, and shall be used in any Lien date-based calculations, such as those for deriving Statute of Limitations Dates (as described in the “Statute of Limitations Status Section” of this document).

*Note: Please see the “[Statute of Limitations Status](#)” section of this document for SOL status derivation rules.*

#### 7.3.3. **Statements**

As an accounting system, CRS must be able to automatically generate “statements” of account to be sent to individual(s) responsible for the ‘account’ (obligation).

The “As-is” system does not provide a facility for manual generation of statements. The “To-be” system shall provide the ability to manually generate a statement at any time, or view past statements.

Statements are Forms. See also the “Forms” section for general requirements that must be satisfied by/for statements as Forms.

The following sections describe rules for automated periodic generation of statements to be mailed to Clients.

### **7.3.3.1. Client Selection Criteria**

#### **7.3.3.1.1. “As-Is” SYSTEM**

In the “As-Is” system, statements are not functioning the way the business expects. There is general consensus that a much smaller number of statements are being issued each month than should be.

The specific issue with current statement processing is in how the system selects which Clients to generate Statements for. The system has hard-coded selection criteria that depend on data attributes and values whose meanings have evolved over time, and/or fallen into disuse.

(More specifically, CRS uses a Statement Frequency attribute to differentiate between Clients who should receive statements Quarterly vs. Monthly. At some point CRS code was modified to only issue certain statements at certain periodicities to certain types of Obligations (Court-Ordered Debt = Monthly). The intersection between this code and the periodicity designation may have had the effect of filtering out new Clients who receive the Quarterly designation for some unintended reason.)

#### **7.3.3.1.2. “TO-BE” SYSTEM**

##### ***Configurability***

The rules for automated Statement generation & processing must be configurable as follows:

1. *Periodicity* is a globally configurable variable that governs the statement generation processing cycle of the system (for example Monthly vs. Quarterly).
2. Ability to set a *Maximum # of Statements* variable, to conform to department policy, which limits the number of Statements that are generated in a given cycle (to control costs). When the maximum is reached, the cycle stops.
3. Ability to configure the *Minimum Total Client Balance*, which is among the standard Selection Criteria (below).
4. Ability to add custom Client selection criteria – based on any Client-level data attribute – to prioritize Clients that satisfy those criteria after first satisfying the standard Selection Criteria (below).
5. Ability to turn off statement generation completely at the system level.

##### ***Selection Criteria***

- The system must generate statements by Client. For example, if each of 4 Clients only owe on a single \$100 Obligation, each Client receives a separate statement indicating the balance of \$100.
- In a given Statement processing cycle, the system must generate a Statement for each Client in the system who satisfies certain Criteria. The following table defines the criteria, and specific results depending on the criteria combination.

#	Client Statement Status	Total Client Balance	Collectible †	Has Valid Mailing Address ††	Has OWD †††	Send?
1	“Block”	Any	Any	Any	Any	No
2	“Always Send”	Any	Any	Any	Any	Yes
3	“Let System Decide”	>=\$ Minimum Total Client Balance	YES	YES	NO	Yes

† “Collectible” is defined as a Client with one or more Obligations with Client-Obligation Collection Status = “Collectible” OR “Collectible (TOP Only)”

†† A “Valid Mailing Address” is defined as a Client Address with “Is Mailing Address” = TRUE, and “Effective Date” <= TODAY.

††† A Client having an OWD is defined as a Client with one or more Payment Plans of Type OWD, with OWD State = “Active”.

- Any Client who does not map to one of the defined criteria combinations in the table above shall NOT receive a statement.
- The system must recognize households containing multiple clients who would have identical statements, and generate a single statement for the household. (*Note: The details of this logic may be complex and must be determined at design/configuration of the replacement system.*)

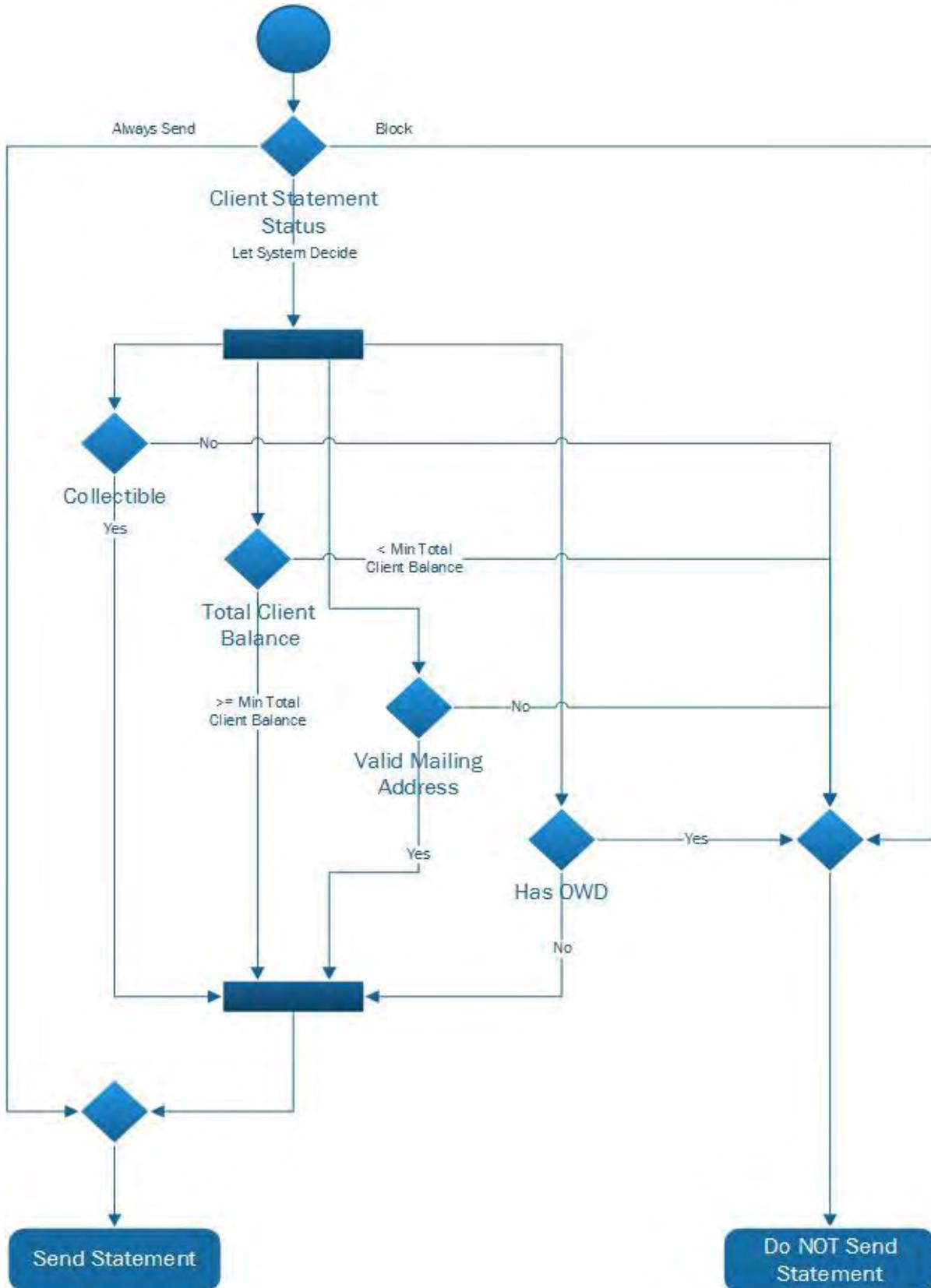


Figure 13 - Statement Delivery

### **Statement Contents**

- For a given Client Statement, all of the Obligations for which the Client is responsible (i.e. which contribute to the Client's Total Client Balance) must be included on the statement.

### **7.3.3.2. Statement Generation & Mailing**

#### **7.3.3.2.1. "As-Is" SYSTEM**

CRS relies on a downstream IBM mainframe system, administered by ISSD, to print Statements, through the following process:

1. CRS prepares 6 Statement Files (1 for each of 6 languages, all structurally identical) to be sent to the IBM system
2. For each selected Client (see "Client Selection Criteria" section for details), the system populates the appropriate one of the 6 Statement Files based on the Client's Language Code
3. CRS moves the 6 Statement Files to the appropriate location for the IBM system initiate statement processing
4. The IBM performs its statement generation process for the 6 files. The process is identical for each, except that the languages used vary.

#### **7.3.3.2.2. "TO-BE" SYSTEM**

The mechanism for printing and mailing Statements is functioning correctly and is expected to remain largely unchanged in the "to-be" system.

Specific requirements for what Obligations to list on a Statement for a given Client, what details to show, sorting, grouping, and summations are an implementation detail to be defined at implementation.

*Note: The new system shall exclude Obligations whose Obligation Status renders the Client-Obligation "Not Collectible." This may also require the report to reduce the Client Balance Due on the statement.*

## **7.4. Accounting**

### **7.4.1. AFRS Coding**

"AFRS Code" is a collection of values attributed to a payment transaction that allows the statewide accounting system, AFRS, to identify the program from which an overpayment originated, and allocate payments back to the correct originating program and funding source.

AFRS Code shall be tracked in the CRS Replacement System at both the Obligation level (ACES) and payment Transaction level (see Business Data Definition document for details on required entities and relationships).

#### **7.4.1.1. Notes on the Complexity of AFRS Coding**

From a pure business/accounting point of view (non-system), the AFRS code exists two places: it is specific to the original overpayment (of which a given single Obligation may be a collection of many), and it must be attributed to a repayment/receipt (cash receipt, recoupment, withholding, etc.) when applied to the overpayment.

To add to the complexity, the original AFRS code for a given overpayment may, over time, change: thus, for example, a repayment of \$10 this year on a single overpayment of \$100 from 4 years ago may receive a different AFRS coding than a repayment of \$10 more made next year, because the GL requirements in AFRS have evolved - accounts shift.

For some Obligations with large amounts that span long time periods, automatically setting the AFRS coding on a Transaction (whether by looking up the coding stored with the Obligation, or by deriving the correct coding from a lookup table based on of Obligation attributes) can create issues because the derivation logic is based on Obligation data alone. The system is not aware of how the individual overpayment amounts that gave rise to the Obligation were spread over time, and as such the allocation of repayment funds is not well-tuned.

For example, if an Obligation spans 2 years, and the largest overpayments happened in the first year, and the correct AFRS coding was different across those two years (even for the same AU), the payment may be incorrectly 'prorated' *evenly* across the two years, so that the amount allocated to each AFRS coding line is disproportionate to the amount of the actual overpayments.

In this example, the total sum of payment transactions (credits to the account) receiving the AFRS coding for each year should be proportional to the amount that was overpaid in each year. Neither CRS nor the existing CARS system is currently capable of automating this level of proration. Even if the systems were so capable, the original overpayment data (the transactions that gave rise to the Obligation) are not currently available in data feeds.

#### **7.4.1.2. AFRS Coding Data Structure**

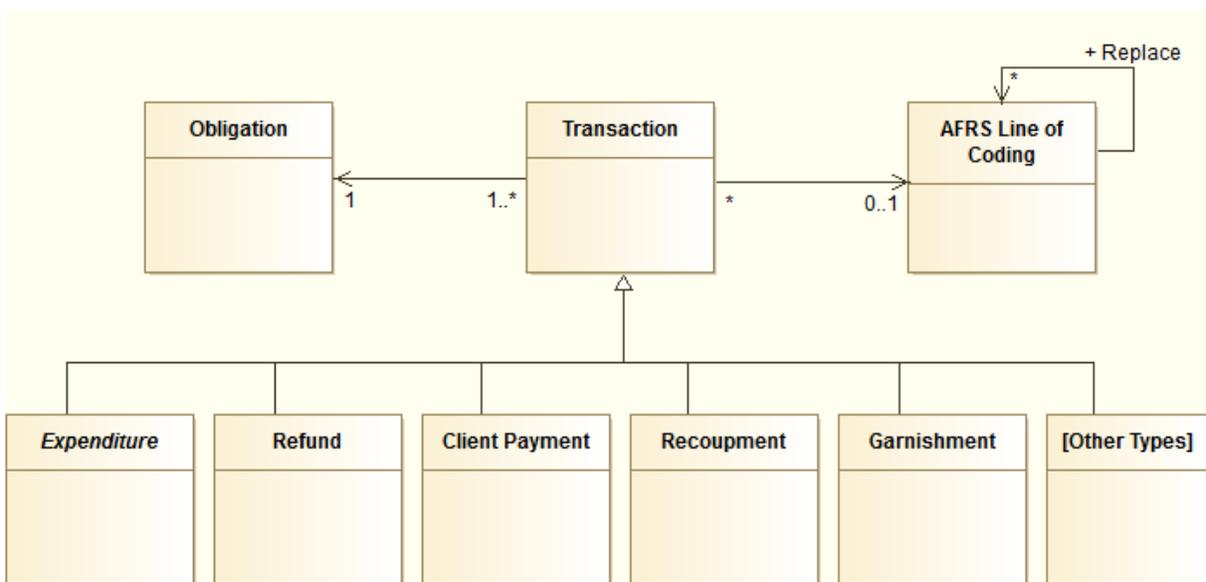
OFr staff members typically think of and describe AFRS coding as an Obligation attribute. While conceptually useful for most cases, this way of thinking oversimplifies the relationship between state level accounting and OFr accounting, making it harder to correctly attribute the right AFRS codes to payment transactions.

This oversimplification is also built into the existing OFR accounting systems, so that accurate AFRS coding becomes a very manual process (using notes, etc.) for complex cases with Obligations made of multiple overpayments spread out over time.

The OFR replacement system is an opportunity to “build-in” a more accurate representation of the relationship between state level accounting and OFR accounting, to solve for these difficult cases and make accurate AFRS coding of payment events easier.

The following class diagram represents the conceptual relationship between AFRS coding and debits/credits (Transactions) against Obligations in CRS accounting. Tips for reading the diagram:

- The Transaction Types in the boxes on the bottom row are just different “Types” of Transactions. That means they are all Transactions, and they all inherit the properties of the Transaction box. (This is what the open triangle arrow means.)
- Every Transaction, of any Type, belongs to one Obligation, and 0 or 1 AFRS code.



Notes on the implications of this conceptual structure:

- An AFRS code is a pointer to the source of funds for the original overpayment. The AFRS code tells AFRS what account the money came from, so that it can return the money to that account when it is repaid.
- The Statewide AFRS accounting system does not know about CRS “Obligations”. The Obligations tracked in CRS originate as “referrals” from upstream systems ACES and SSPS.

- When upstream systems send a referral to OFR, they do not include a record of the individual AFRS expenditures that make up the Obligation. (This may change in the future.)
- From an accounting point of view, the establishment of a Client debt (money owed on an Obligation) is technically an expenditure transaction (a debit against the new account).
- If the Obligation is made of more than one expenditure, the system should support recording of those multiple expenditures as transactions against the Obligation (each of which raises the amount owed on the Obligation).
- Each Expenditure can be from a different funding source/program, and can receive a different AFRS code. Thus the AFRS coding belongs at the level of the Expenditure transaction.
- Tracking AFRS coding at the level of the Transaction (rather than the level of the Obligation) also makes sense for payments and other kinds of Transactions that lower the balance of the Obligation.

The following table shows an example of how a single Obligation can be made of multiple overpayment (“Expenditure”) events that occur over time. The AFRS coding of the source program may be different for expenditures made at different times. Client payment events should receive the AFRS code of the oldest remaining (i.e. unpaid) expenditure (note that this allocation rule could change, and could be manual or automated – the point is that this structure makes it possible to have such a rule).

Tran ID	Transaction Type	Date	Amt	AFRS Code	Ob Balance	Notes
1	Expenditure	3/15/2012	100	[aaaa]	100	Original overpayments spread out over 10 months
2	Expenditure	4/15/2012	100	[aaaa]	200	
3	Expenditure	5/15/2012	100	[aaaa]	300	
4	Expenditure	6/15/2012	100	[aaaa]	400	
5	Expenditure	7/15/2012	100	[bbbb]	500	AFRS code changes for same program in new Fiscal Year.
6	Expenditure	8/15/2012	100	[bbbb]	600	
7	Expenditure	9/15/2012	100	[bbbb]	700	
8	Expenditure	10/15/2012	100	[bbbb]	800	
9	Expenditure	11/15/2012	100	[bbbb]	900	
10	Expenditure	12/15/2012	100	[bbbb]	1000	
11	Client Payment	3/6/2013	-400	[aaaa]	600	Client payment of \$500 received. Code to oldest expenditures first; split when AFRS coding changes.

Tran ID	Transaction Type	Date	Amt	AFRS Code	Ob Balance	Notes
12	Client Payment	3/6/2013	-100	[bbbb]	500	Split payment in two after [aaaa] debt is paid off
13	Client Payment	4/6/2013	-500	[bbbb]	0	Final payment coded to only remaining AFRS code.

### 7.4.1.3. Deriving AFRS Codes

A CRS Replacement system is expected to improve AFRS coding by satisfying the following core requirements:

1. Interface with a centrally maintained repository of valid AFRS codes (currently in CARS).
2. Capture AFRS codes with Obligations for lookup when processing payments
  - Provide the ability to enter AFRS coding in real time for manually entered Obligations based on dynamic select lists that filter for valid combinations based on the central repository of valid AFRS codes.
  - Provide the ability to receive and store AFRS coding when it arrives as part of the ACES referrals feed (the feed does not currently contain AFRS coding, but the system must have home for it).
3. Record AFRS codes at the Transaction level (including for the originating Expenditures), so that repayments can be allocated to the correct originating overpayments and receive the correct AFRS coding.
4. Make it straightforward for authorized staff to complete “mass updates” of AFRS codes. This applies both to already-coded transactions, and to Obligations that have AFRS coding attributed to them. (This capability is necessary to satisfy evolving upstream & downstream accounting requirements, some of which change retroactively.)

#### 7.4.1.3.1. “As-Is” vs. “To-Be” SYSTEMS

Currently AFRS codes do not exist in CRS, except in a lookup table for automatic application of the correct coding when payment transactions are posted.

In the posting event, AFRS coding is derived and delivered back to the FSA system from which the transactions originated, but the AFRS coding is not stored in CRS. (This applies to all transactions processed by FSA – both manually entered payments, as well as payments processed automatically by scanning barcodes on payment receipts.)

In the “To-Be” system, CRS must still provide AFRS Codes back to FSA on posting transactions received from FSA. However, the processing will change because the coding can be derived by looking at Obligation data rather than from a lookup table. This is expected to provide a more accurate coding at posting time.

The following table lists the events where, and how, AFRS Coding must be captured.

Entity	Event	“As-Is”	“To-Be”	Notes
Obligation	Automated referrals received from ACES via feed	n/a – Not captured	Add to ACES feed (future); store with Obligation in CRS.	
Obligation	Manually entered referrals from ACES	n/a – Not captured	Provide dynamic filters to user for valid AFRS coding when entering Obligation(s); Store with Obligation in CRS.	See “AFRS Code Filtering” below for the intent of the “dynamic filters” requirement.
Obligation	Manually entered referrals received from SSPS	n/a – Not captured	Capture SSPS Codes but dynamically derive AFRS coding from SSPS Account Codes lookup table; Store AFRS coding and SSPS Codes with Obligation in CRS.	
Transaction	Payments processed by and received from FSA via feed	Derived at posting based on locally stored lookup table in CRS.	Derived at posting based on centrally stored lookup tables shared with CARS.	Includes all payments whether processed by FSA automatically or manually.
Transaction	Transactions initiated by CRS Accounting in CRS	Rules hard-coded by Tran Code	1. Retrieve from Obligation 2. If not found, derive using rules <i>parameterized</i> by Tran Code	Develop low-level matching rules at implementation.

*Please see the Business Data Definition document for detailed treatment of the relationship between AFRS coding records, Obligations, and Transactions.*

#### **7.4.1.3.2. AFRS CODE FILTERING**

The following table lists the elements stored in the AFRS code derivation table in the “as-is” CRS system. It is included here for reference.

The “to-be” system shall use a table like this, stored centrally, to drive dynamic filtering of the options available to the user when entering AFRS codes manually.

AFRS Code Element	Input/Output†	Select Sequence	Notes
Obligation Type	Input	n/a	Filter valid selections by Ob Type
Program	Input	n/a	Filter valid selections by Ob Program
Valid From Date	Input	n/a	Filter valid selections by Ob Begin Date
Valid To Date	Input	n/a	Filter valid selections by Ob End Date
Fund	Input	n/a	
App. Index	Output	1	
Program Index	Output	2	
Sub-Object	Output	3	
Sub-Sub object	Output	4	
Org Index	Output	5	
Alloc	Output		
MOFS	Output		
Project	Output		
Sub-Project	Output		
Project Phase	Output		
Major Group	Output		Used potentially for interest, fines
Source	Output		Used potentially for interest, fines
Sub-Source	Output		Used potentially for interest, fines

† Elements marked “Input” are used to filter the list of available code combinations. Elements marked “Output” make up the AFRS coding itself.

### 7.4.2. AFRS Code Bulk Maintenance

The CRS Replacement system must provide a way to perform “bulk maintenance” of AFRS Codes that have been attributed to Obligations.

The CRS Replacement system must provide a way to perform “bulk maintenance” of AFRS Codes that have been attributed to Transactions.

“Bulk Maintenance” includes both manual search & replace, and the setup of rules that are referenced when AFRS coding is assigned to an Obligation or Transaction.

Both “Bulk Maintenance” and “Search & Replace” shall support querying by all AFRS code attributes, and by select Obligation attributes.

*Note: It may be possible to accomplish some of this by giving AFRS Code combinations their own identity and then referencing the ID’d AFRS code instead of storing the complete coding*

*with every Transaction/Obligation. This both a technical and business design question to be addressed at implementation.*

### **7.4.3. Batch Entry**

#### **7.4.3.1. “As-Is” System**

When manually entering new Transactions, Accountants use “Batch” functionality to group their entries.

Grouping entries in this way is an accounting technique that allows for validation by summation: if the computed total of the batch entries matches what the user independently computed as the total, then the amounts were most likely entered correctly.

#### **7.4.3.2. “To-Be” System**

1. The CRS Replacement system shall provide the ability to enter Transactions in Batch, much like they do today, in order to satisfy the need for validation of large volumes of manual data entry.
2. The CRS Replacement system shall provide the ability to edit the entries for a given submitted, but not-yet-posted, Batch.
3. When a Batch is “posted,” the line item transaction entries for the batch are applied to the designated Obligation.
4. Both the Obligation balance, and the Total Client Balances for all the Clients related to the Obligation, must be updated as the result of the posting of any Transaction.
5. If the Obligation cannot be found during posting, or other issues arise with the posting, the Transaction becomes “Pending”. The System must provide users the ability to view lists of Pending Transactions and update them with corrected information so they can post.

### **7.4.4. Reconciliation & Balancing**

#### **7.4.4.1. “As-Is” System**

The Accounting team engages in a variety of activities around periodic reconciliation and balancing.

Paper records of data entry are reconciled against reports generated by the system, to ensure data was entered correctly and system processing has been completed correctly.

Different views of system data are generated as reports to ensure the sums of monetary transactions across specific periods balance correctly.

Examples of reconciliation & balancing activities include:

- Confirming the ending balances of total receivables in a specific period
- Counts and amounts of monetary transactions in a specified period
- Beginning vs. Ending balances to expose ‘phantom’ transactions (partially informed by paper Batch Entry process)

The reconciliation & balancing functions are currently report-driven. Nearly half of the reports itemized in “[Appendix C – Pre-Defined Reports](#)” support reconciliation & balancing functions for Accounting. Please reference that section for sample layouts and detailed descriptions of the business functions of each report.

In addition to the system-generated reports, there are several manual reports generated periodically to satisfy the requirements of federal programs. These reports are generated by hand due to the complexity of the federal requirements – including Excel workbooks with multiple sheets. Examples include:

- FNS-209 – Federal Food (monthly & quarterly)
- SSA-4972 – Federal AFDC (quarterly)

#### **7.4.4.2. “To-Be” System**

The CRS Replacement system must provide the following in support of the Reconciliation & Balancing functions of the Accounting team:

- Satisfy the same reconciliation capabilities with pre-defined reports
- Reduce the reconciliation overhead with:
  - Elimination of system issues & tighter accounting system
  - More ad-hoc reporting (also supports assembly of manual federal reports)
  - Implementation of necessary system-generated reports
- Detailed reporting requirements will depend in part on the capabilities of the chosen accounting solution. Some reports may no longer be necessary; other new reports may be required; and some reports may require adjustment. Elaboration of these details will be done at the time of implementation.

#### **7.4.5. Obligation Interest**

##### **7.4.5.1. “As-Is” System**

- Obligation interest is not currently computed in the system.

- Any interest that is collected as the result of a court order is tracked separately and entered as a separate Obligation with a special Obligation Type that identifies it as Interest.

#### **7.4.5.2. “To-Be” System**

- The system shall provide the ability to set up interest accrual rules for a given Obligation.
- Standard variables for interest calculation shall be provided and configurable when setting up the rules for a given Obligation, including the interest rate, and whether or not the interest compounds.
- Note: Any interest charged on federal debt must be returned to the federal government.

#### **7.4.6. “Tracked” & “Non-Tracked” Obligations**

##### **7.4.6.1. “As-Is” System**

The CRS system has two balance fields on the Client: “Client Balance” and “Total Client Balance”. The intended use of the two fields is for the “Total Client Balance” to include Obligations to which the Client is related in the system but for which they are not responsible.

“Tracked” and “Non-Tracked” are defined in the context of the Client-Obligation relationship. A “Tracked” Obligation is one to which a Client is related, and for which they are responsible for repayment (as determined by the absence of a Status Code that indicates not-tracked). A “Non-Tracked” Obligation is one to which a Client is related, and for which they are NOT responsible for repayment, based on their Status Code.

Current users of CRS use the Client Balance field exclusively, as the other field is considered unreliable. This is likely due to evolution of how “responsible” has been defined in the system, using evolving Status Codes, etc.

##### **7.4.6.2. “To-Be” System**

There is no requirement in the CRS replacement system to maintain “non-tracked” balances. The Client Balance field contains the total of all of the Obligations to which the Client is related.

#### **7.4.7. Payment Processing**

##### **7.4.7.1. “As-is” System**

CRS Payments are processed as follows:

1. Mailed payments are opened and processed by the DCS mail/payment processing staff
2. DCS has scanning technology that automates the transaction entry process where possible, and captures images of the envelope and all of its contents.
  - a. Approx. 6% of CRS payments are automatically entered into FSA systems as transactions by reading a “scan line” on the statement “coupon” mailed in with

the payment, which provides a system identifier of the Client making the payment.

- b. Manually entered payments are entered by FSA directly into their own systems (PC Cash, CAT, CRT), using search functionality to locate Obligations, often based on the names on checks, envelopes, or whatever other information is available.
3. FSA periodically submits transactions to CRS for posting.
4. CRS returns a report of errors, and the “derived” AFRS coding for successful postings.
5. FSA compiles CRS payments, along with payments from other systems, and periodically submits them to AFRS, the statewide accounting system, to be applied to the correct account based on the AFRS Coding.

Some payments are referred the CRS accounting staff for further research. the CAU does not do any entry via Batch in CRS for payments.

Payments for which the Obligation cannot be identified or posted to for any reason at the time of posting are posted instead to a “suspense” account. This supports state-level reporting requirements and provides a resolution path for Transactions that could not post. Applies to both FSA inbound transactions, and Transactions manually entered in CRS.

#### **7.4.7.2. “To-be” System**

The basic payment processing flow of the “as-is” system is expected to remain intact. Specifically, payments will continue to be routed through the existing Cash Receipting staff and tools administered by FSA. Along the way, some revisions to the overall processing flow may be required, depending on selected solutions and technical design.

One known exception is for Garnishment payments sent by employers (which flow directly to FSA for entry). Garnishments in the replacement system are specific to an OWD, which is specific to either all or a subset of a Client’s Obligations. The list of Obligations to apply the payment to must be filtered as a function of the OWD.

Other such exceptions will be identified, and must be handled, as part of implementation.

#### **7.4.8. Misapplied Payments**

##### **7.4.8.1. “As-Is” System**

Cash payments that have been “misapplied” – that is, either keyed incorrectly or applied to the incorrect Obligation – must be corrected when discovered.

Currently, correcting misapplied cash payments is an entirely manual data entry process handled exclusively by OAS (outside of CRS), using CAT (Cash Adjustment Tool).

#### **7.4.8.2. “To-Be” System**

- The system shall provide the ability to locate a misapplied payment and initiate corrective action on the payment.
- The system shall provide the ability to limit this capability to certain defined Transaction Types, which may vary depending on policy. This control must be configurable.
- The corrective process shall allow the user to specify the correct target Obligation (if it needs to be changed), and specify any other details that must be revised.
- The system shall initiate the appropriate corresponding corrective accounting transactions, without the user having to set up each transaction manually – including pre-defined narrative text to capture an explanation of the correction for future reference.

#### **7.4.9. Recoupments**

##### **7.4.9.1. “As-Is” System**

Activating & deactivating Recoupments is currently manual accounting function as it relates to CRS.

*Note: Activating/deactivating Recoupments currently happens outside of CRS, in ACES. It is a manual process for OFR staff to activate/deactivate Recoupments if needed. Activation and deactivation may sometimes also be automated in ACES.*

##### **7.4.9.2. “To-Be” System**

The CRS Replacement system shall automate this processing as follows:

1. Client back on assistance, auto-trigger recoupment
2. Auto set % depending on type of debt (court-ordered fraud = n%, etc.)
  - a. Allow user to manually set % to a higher value than stipulated by the rules *if the Client specifically requests.*
  - b. Allow user to manually set a \$ amount that adds up to a value higher than the calculated \$ amount stipulated by the rules based on %.
3. If Client goes off assistance, auto-disable recoupment

*Note: This processing will require ACES to update its Client Update feed to provide reliable information to recognize on/off assistance events and take the appropriate action.*

The CRS Replacement system shall provide the ability to manually stop/start recoupments based on specific business rules.

## 7.4.10. Payment & Recoupment Priority Rules

### 7.4.10.1. “As-Is” System

CRS provides inquiry screens that list a given Client’s Obligations (Primary & Secondary) in “priority” order. (Screens 230 & 240) These inquiry screens are used as a reference to determine how to allocate the funds of a given Payment across the Client’s Obligations when processing a payment manually.

The rules for allocation priority are currently the same no matter how the funds were obtained. That is, Payments and Recoupments are allocated according to the same priority rules – even though there are separate screens.

Priority is defined in a matrix which stores valid combinations of the variables that affect priority. CRS derives allocation priority according to the following variables:

- Overpayment Reason
- Overpayment Type
- Obligation Age (based on the value in the Obligation End Date field). (Older Obligations appear higher in the list)

In the rare case of an Obligation, where all three variables match (Reason, Type, Date) the sequence does not matter.

Recoupments must also apply to the correct program type. A recoupment from a client’s federal food assistance must only post to a FS federal debt. Sometimes a client can have a State Food debt and a Federal Food debt. The system applies Recoupments to the correct debt types by mapping the Recoupment Type to the Priority Matrix.

Lottery deductions are also “unspecified” payments and follow the priority matrix.

#### 7.4.10.1.1. “SPECIFIED PAYMENTS”

“Specified Payments are payments received from a Client with a note on the check or in a letter stating they want their payment applied to a specific debt.

OFR must honor the Client’s request, even if it contradicts the system-derived priority. This is a manual process. Other specified payments are:

- TOP \$ as they must only be applied to TOP debt regardless of a higher priority obligation
- Payments from the courts must only be applied to court ordered obligations (however it would still go in order of priority. PA court ordered before FS court ordered)
- Payments from an employer must only be applied to the obligation targeted for an OWD (Order to Withhold & Deliver)

#### 7.4.10.2. “To-Be” System

1. As in the current CRS system, the replacement system must provide users with the ability to view a Client’s Obligations in a sequence derived from a priority matrix.
2. Users must have the ability to use the defined priority, or override it based on external considerations such as Specified Payments.
3. The CRS Replacement system must provide the ability to configure the lookup tables for Payment and Recoupment independently, and the ability to view allocation priority for Payment and Recoupment separately (even though they are currently the same).
4. New requirements to automatically apply non-specified payments based on pro-rata rules must have emerged and must also be supported. Specifically, unspecified payments received from clients who have both Public Assistance and federal Food Assistance debt, each program must receive its prorata share of the amount collected. (Please see also “[Appendix F – Pro-Rata Payment Priority Rules](#)” for further details.)

#### 7.4.11. Medicaid Overpayment Handling (“MOMS”)

By federal law, Medicaid overpayments must be “refunded” by the state to the federal Medicaid program within a certain time period (currently 365 days from the date of the overpayment notification letter being sent), regardless of whether the debt has been collected from the Client.

Federal auditors have begun to tighten their focus on issues with the State’s handling of Medicaid overpayments, specifically in regard to this time period refund requirement. From a [recent audit](#) (2012):

*“When OFR receives overpayment information, it establishes accounts receivable and the one-year clock starts. If an overpayment is paid by providers within a year, the federal share of the overpayment is refunded through cash-receipting procedures. If a provider balance remains after a year, **the Collections and Accounts Receivable System runs a Medicaid Overpayment Management System report that is forwarded to the Authority Accounting Services** to process a refund for any amount still owed to the federal government. The accuracy of this refunding process depends upon accuracy of overpayment information OFR receives from the Authority.”* (Emphasis added)

The issue identified by the audit was related to the accuracy of the information flowing from ACES to CARS, which affects the accuracy of CARS’ “MOMS” report, which drives refund processing to the federal government.

While this most recent audit did not directly target CRS' handling of Medicaid debt, CRS is central to the processing flow for Client Medicaid debt. The OFR Client Accounting team anticipates the future need to allow Accountants to "re-code" such debt as part of the "refunding" process.

The act of "refunding" the overpayment (i.e. applying a payment from a State account to the original Medicaid program in AFRS) in effect creates a new expenditure under the same Obligation, with a different AFRS coding (since it was paid not from Medicaid but from a different State account).

This approach keeps a record of the source of the overpayment, maintains the correct balance, and allows future Client payments to be allocated to the correct source of funds.

The following provides an example of this approach. It is a list of transaction events against a given Obligation, over the life of the Obligation, with a refund event in the middle, and with Client payments occurring both prior to and after the refund event.

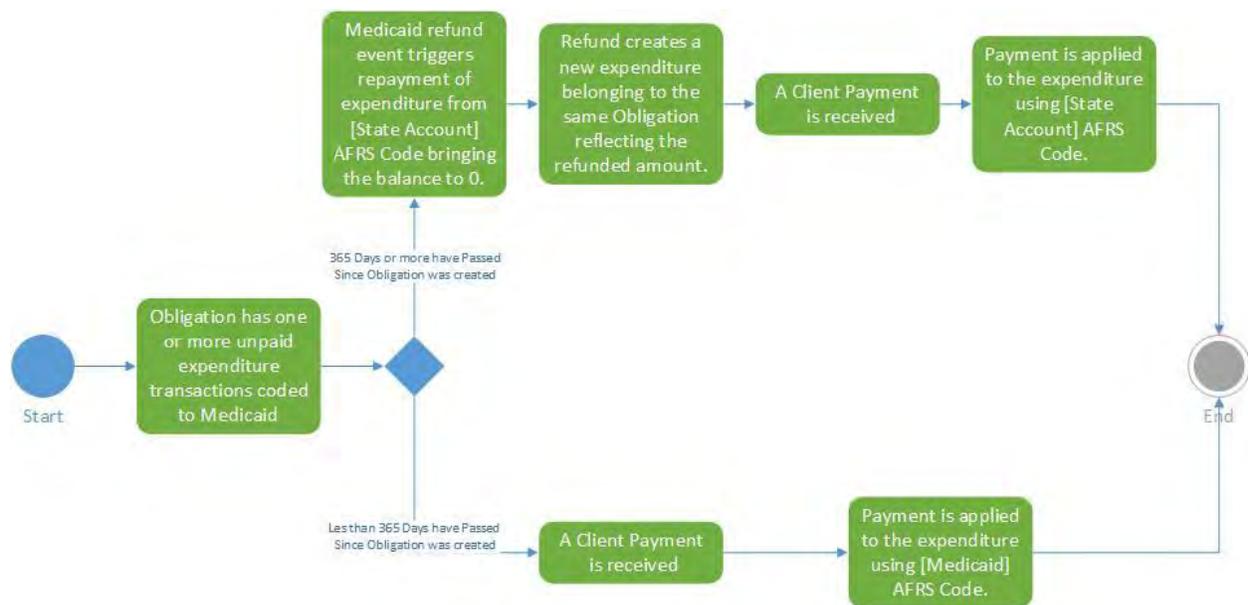
Tran ID	Transaction Type	Date	Debit	Credit	AFRS Code	Ob Balance	Notes
1	Expenditure	1/1/2015	1000		[Medicaid]	-1000	The original expenditure creates the Obligation (sometimes more than one expenditure per Ob) (Assume for this example the Notification letter date = 1/1/2015)
2	Client Payment	7/1/2015		250	[Medicaid]	-750	Client payment within 365 days is applied to the AFRS code of the existing expenditure
3	State Refund Payment	1/1/2016		750	[Medicaid]	0	Medicaid Refund event triggers repayment of original expenditure from state account (bal to 0)
4	Expenditure	1/1/2016	750		[State acct]	-750	Refund creates new expenditure that belongs to the same Obligation (bal back to 750)
5	Client Payment	2/1/2016		750	[State acct]	0	Subsequent Client payments are applied to the unpaid expenditure (state account)

There are currently no requirements or processes around triggering and processing a Medicaid refund event in CRS or a CRS replacement. However, the CRS Replacement system must support this capability to maintain accurate expenditure source detail, while also maintaining correct Obligation balances, and correct coding of subsequent Client payments, as the result of a Medicaid refund event.

Additional notes for reference when any such federal requirement is imposed:

- After a certain # of days (currently 365 days), if the debt has not been paid, the state must start MOMS processing for the state to pay back the Federal program.
- The # of days must be configurable.
- Based on today’s ACES feeds, the system will have to use Obligation AU# from ACES to identify MOMS debt. Currently not all MOMS debt is uniquely identifiable using Obligation AU# (for example some Medicaid debt is coded as TANF). (This is also related to the root cause of the federal audit finding quoted above.)
- The ACES feed issues may be addressed as part of the changes being made at ACES to support Medicaid’s new eligibility standards based on MAGI (Modified Adjusted Gross Income).

The following diagram shows the basic decision logic, and related activities, for federal Medicaid refunds (as described above).



## **7.5. TOP in CRS**

TOP CRS is a set of CRS functions that were at one time implemented separately from CRS to satisfy the requirements of the federal Treasury Offset Program (TOP). The federal food stamp program requires the State to send notification of federal food stamp debt after a certain period of delinquency. The functions have recently been folded back into CRS itself.

TOP CRS functions were originally performed by the CRS mainframe system itself, but those functions were found to be out of compliance with federal requirements. At the time, it was determined the expedient solution was to implement TOP CRS as an interim SQL-based solution. That external implementation has since been re-implemented inside CRS.

The CRS replacement system must also replace TOP in CRS, including its data and functionality, as part of the core system. The following sections describe the functional requirements that must be satisfied for TOP, how the system currently satisfies them, and how they shall fit into the “to-be” CRS Replacement system.

### **7.5.1. TOP Certification Process**

The Treasury Offset Program (TOP) is a debt collection program administered by Financial Management Services (FMS), a bureau of the U.S. Department of the Treasury.

This program allows state agencies to submit past-due, legally enforceable state income tax obligations to FMS for offset of the debtor’s individual federal income tax refund. WA participates in this program for federal Food Stamp debt.

Once an individual has been identified as TOP Cert Eligible in the CRS system, and TOP has confirmed it has a record of that individual, the State sends a “30 Day Letter” to the last known address of the taxpayer explaining that the debt will be forwarded to TOP if not paid in full within 30 Days.

If the debt has not been paid within 30 Days, CRS notifies TOP of the past-due tax debt (thus “certifying” the debt). Once the debt is certified, the Client’s federal income tax refund may be taken to pay down the state debt. This process is referred to as “offset”. The IRS sends any remaining federal refund amount to the taxpayer.

The core TOP Certification Process is defined by federal rules and as such can be described independently of the rules for the “as-is” and “to-be” systems.

### **7.5.1.1. TOP Certification Activity Diagram**

The following activity diagram shows the sequence of events and decisions that drive the TOP Certification process. The activities (rectangles) are further elaborated in the “TOP Activities” section below.

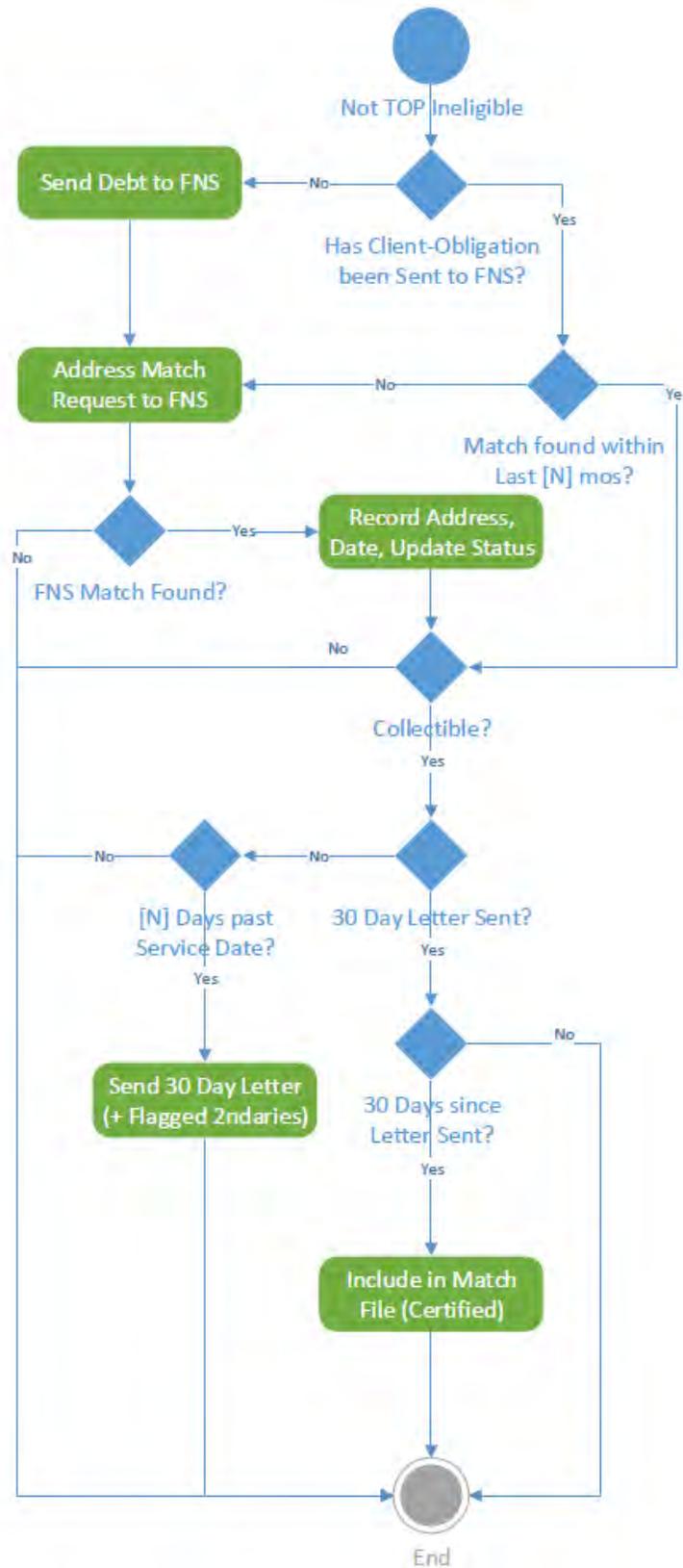
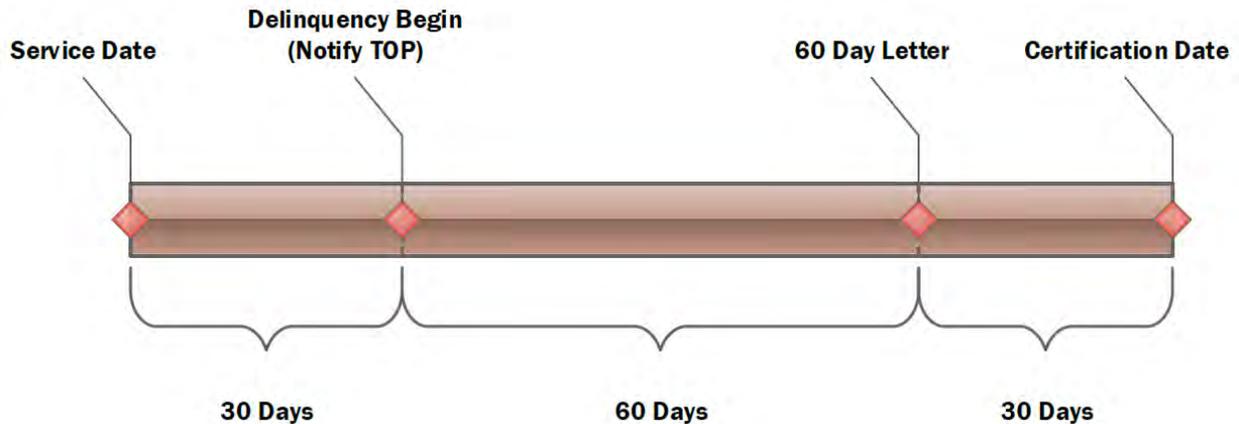


Figure 14 - TOP Certification Activity Diagram

### 7.5.1.2. TOP Certification Timeline

The following timeline diagram illustrates the basic Certification lifecycle. In the absence of any arrangements made by the Client to satisfy the debt, it will “certify” for Treasury offset 180 days from the Service Date.



*Note: OFR expects fewer corrections to be required directly in the federal TOP system after replacing CRS. One exception is for refunds during tax season: OFR uses the federal TOP system to issue real-time refunds to prevent duplicate refunds at the State and Federal levels that may arise as the result of tax filing before the collections cycle completes.*

### 7.5.2. “To-Be” System

The CRS Replacement system is an opportunity to simplify TOP processing. The primary functions (data interfaces with TOP, and form generation) will remain intact. Data flow is dramatically simplified.

Much of the TOP data transformation and selection criteria logic, which were designed to work around limitations of the existing CRS system, can be simplified or in some cases eliminated.

#### 7.5.2.1. TOP Activities

The following sections describe the individual activities referenced in the activity diagram of the “TOP Certification Process” (above).

##### 7.5.2.1.1. DETERMINE TOP ELIGIBILITY

Whether a given Client-Obligation is eligible for collection through TOP is defined for the “to-be” system as a function of the Client-Obligation’s TOP Certification Status.

Please reference the Client-Obligation [“TOP Certification Status”](#) section of this document for detailed elaboration of the rules for deriving TOP eligibility.

#### **7.5.2.1.2. FEDERAL ADDRESS REQUEST**

- CRS initiates the TOP Certification process by sending FNS a Client “match” request through DI-11 “TOP Pre-Offset Address Request”.
- The “TOP Pre-Offset Address Request” feed (DI-11) to TOP contains all newly eligible Client-Obligations (i.e. Client-Obligations with TOP Certification Status = TOP Cert Eligible).
- Including a Client-Obligation in this request for the first time puts the Client-Obligation into the FNS system and requests a match.

#### **7.5.2.1.3. ADDRESS MATCHING**

- FNS responds to the “TOP Pre-Offset Address Request” feed (DI-11) with DI-12 “TOP 30 Day Letters”). DI-12 contains matching results and, where a match was found, Client address information.
- Addresses received from FNS for a given matched Client trigger creation of a new Client Address record, marked as a TOP address (i.e. IsTopAddress = TRUE AND Address Source = FNS).
- Federal rules for matched addresses:
  - Addresses received from FNS as the result of a match are ‘inviolable’ and by federal rule must not be overwritten by the State for 6 months (i.e. they cannot be edited by the user until 6 months after the Effective Date of the Address record).
  - Addresses received from FNS as the result of a match are good for 6 months; federal rules stipulate that CRS shall not request another match for a matched Client within 6 months of the match.
- Receipt of a match triggers the “30 Day Letter” process, provided certain other criteria for collectability are also met.

#### **7.5.2.1.4. 30 DAY LETTER**

- Once FNS has confirmed they have a record of a given Client in their system (i.e. a “match” was received), the State has 6 months to issue a “30 Day Letter”.
- If 6 months pass before a letter is issued, the State must re-request a match (i.e. the Client-Obligation TOP Certification Status reverts from “Match Found” to “Eligible” after 6 months).
- The “30 Day Letter” process is triggered by the receipt of an address match from FNS, provided the following criteria are also met:
  1. Client-Obligation TOP Eligibility Status = “TOP Eligible”
  2. Client-Obligation Collection Status = “Collectible” or “Collectible (TOP Only)”
  3. Client-Obligation Top-Certification Status = “Matched Pending 30 Day Letter”
  4. Today - Client Obligation Service Date  $\geq$  120 days
  5. Date of most recent TOP Match (Client-Obligation TOP Match Date)  $\leq$  6 months ago

- The 30 Day Letter shall be sent to the Client’s TOP Address (where IsTopAddress = TRUE).
- For a given Client-Obligation issued a 30 Day letter, where Client is the Primary Client on the Obligation, at the time of issuance, the system must also determine whether to issue additional letters to the Secondary clients, as follows:
  - For each secondary Client, if Client Obligation TOP Eligibility Status = “TOP Eligible – Letter Only”, then issue a 30 Day letter
  - Secondary Clients receiving a letter may not have a TOP address, in which case the system must use the Client’s latest effective mailing address.
- When the 30 Day letter is sent, the date is captured for the Client-Obligation.
- TOP
  - Generate 30 Day Letter form when
    - TOP Certification Status = Matched Pending 30 Day Letter  
AND
    - Today - Client Obligation Service Date >=120 days
  - Match error tickler (i.e. notification/work item) when match errors are returned by FNS TOP.

#### **7.5.2.1.5. WEEKLY TOP COLLECTION/REVERSAL POSTING (DI-13)**

- Each week FNS notifies CRS of any collection actions it has taken that affect Obligation balance, through DI-13 “Weekly TOP Collection/Reversal Posting”.

#### **7.5.2.1.6. WEEKLY CRS COLLECTIONS TO TOP (DI-14)**

- Each week CRS notifies FNS of any actions that have affected the balance of a given Client’s federal debt (their Obligation balance), through DI-14 “Weekly CRS Collections to TOP”.
- This feed has financial implications for the State. Federal rules provide for the State to retain a percentage of any federal Food Stamp overpayments the State collects directly.

#### **7.5.2.1.7. MANUAL CORRECTIONS**

- The TOP Administrator may continue to access the federal TOP system directly, to research and resolve issues that may arise, as well as to use built-in system functions/workflows to perform tasks such as refunds (especially during tax time).

#### **7.5.2.2. TOP Data**

The old external TOP CRS implementation had special processing around names and addresses to work around issues that arise as the result of implementation design. CRS replacement design should eliminate the need for much of the special processing. Some examples:

- The CRS mainframe stores Client Name as a single data field. TOP data import contains logic to parse the name into first & last name fields. CRS Replacement stores Client Name as multiple fields.

- Client Name is sometimes an issue for matching – the Client may use a different name with the IRS than they have with the State. CRS Replacement provides for multiple names to be tracked for a given Client. If a match is failing due to a name discrepancy, the RA can add and/or change the primary name of the Client in CRS.
- In the “as-is” system, prior Client Addresses received from TOP after a match is not visible in the CRS system – they are overwritten. Very often the TOP address is the most current, best address for a Client (the one they last used to file their federal taxes), and would be valuable for State collections. The CEU needs to be able to see all the historical addresses and their source.
- The CRS Replacement system provides for multiple addresses to be tracked for a given Client. When an address is received from TOP, it must be marked as such (so that it cannot be changed), and immediately visible to all users who have access to view information about the Client. Addresses can also originate from CRS and end up being used for TOP. The definition of the Client Address data entity provides for indications of both the “Source” of the address, and whether the address is being used for TOP mailings.

## 8. Appendix A – Payment Priority Matrix

The attached matrix defines the current Obligation Payment & Recoupment priority sequence, as a function of Obligation Reason & Type, for display purposes.



CRS Payment Priority  
for new reason codes

## 9. Appendix B – Old TOP CRS Processes Design Spec

The attached .pdf document describes the data flow and processing logic of the old TOP CRS processes. This information is included for reference. It does not constitute specification for the “As-is” or “To-Be” system.



TOP Processes April  
2012.pdf

## 10. Appendix C – Pre-Defined Reports

The attached files list and describe the pre-defined reports currently required to run CRS business processes and system functions.

They are included here as examples of the kinds of reports expected. Some will no longer be necessary in a CRS replacement system, and other new reports will be required.



CRS Reports  
Inventory.xlsx



CRS replacement  
daily monthly rpts anc

## 11. Appendix D – Forms

The attached file lists the Forms used by OFR for its Client collections & accounting functions. It is included here for reference.



CRS Replacement -  
Forms Inventory.xlsx

## 12. Appendix E – “As-Is” CRS Screen Captures

The attached file shows screen captures of the primary screens used by CRS users today.



CRS Screen  
Shots.pdf

## 13. Appendix F – Pro-Rata Payment Priority Rules

The attached file elaborates the detailed rules for pro-rating non-specified payments across programs when one of the programs is federal Food Assistance.



CRS Payment  
Application Chg RCI



## *CRS Replacement Project* **Business Data Definition Document**

Prepared by Critical Logic



#	Description	Changed By	Date
1.0	Preliminary working draft	Adam Richards	9/30/2013
2.0	Release for RFQQ (Request For Quote) Draft	Adam Richards	10/31/2013
2.1	Updated RFQQ Draft for Stakeholder Review	Adam Richards	1/24/2014
2.2	Added Appendix D – Class Diagram of all Data Entities	Adam Richards	1/31/2014
2.3	Misc. updates for RFQQ	Adam Richards	11/13/2015

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## 14. Introduction

This Data Definition Document describes “what” the current system does, but is not intended to stipulate “how” a replacement should accomplish it. Sufficient detail is provided to reveal the depth and breadth of the interface requirements for estimating purposes.

### *Included details:*

- Business information about required data entities
- Business information about required entity relationships (logical)
- Business information about required entity attributes
- Informational representation of field lengths and data types from “as-is” system – not intended as design
- Status attributes that could be either stored or derived in real time (included here to reinforce that they must be current and available whenever needed)
- An inventory of known lookup tables for reference and a starting point at implementation

### *Not included (to be defined for implementation):*

- Requirements for physical design of a database
- Groupings of data elements for screen & transaction flow design
- Values that should be derived not stored (e.g. Lien Count)
- System tables from the “as-is” or for “to-be” system (except lookups)
- Data groupings for system features like audit, user authorizations, etc.
- Foreign keys to point to other entities (reinforcing the data relationships)

Logical entity relationships are treated here with legibility in mind. At times, rigorous entity relationship design principles are set aside in the interest of communicating specific requirements. Examples:

- “Address” is described twice (Client, Employer) to support description of the relationships and rules, but could (and should) be implemented as one thing.
- “Order to Withhold” has \$ amt & periodicity tracked, with rules around notifications of overdue payments. “Payment Agreements” contain the same data. OWDs and WA’s could be thought of as creating a payment agreement record – rationalizing the data in that way might be an implementation decision, but the business does not think of the processes, information, or rules in that way so they are defined here as separate entities.
- OWD & WA could be the same entity with different state rules depending on type.

Data Element Groupings for display/interaction (for example any attributes that span entity relationships that must be displayed or entered together) are not established here. Data groupings are treated as an implementation detail, due to the wide variance in functional possibility across solutions.

While this document is not intended to define the specific implementation internals, any CRS replacement system must satisfy the basic structures, relationships, attributes, and other needs described herein.

## 15. Data Entities & Attributes

### 15.1. Entity: Client

#### 15.1.1.1. Business Description

Clients are individuals who are tracked by the system in relation to one or more overpayments (Obligations).

#### 15.1.1.2. Relationships

A client may have any number of obligations (tracked by the Client-Obligation Relation entity).

The system must also track a variety of historical information about the Client, including Addresses and Employment History.

#### 15.1.1.3. Attributes

#	Attribute Name	Type Info	Description	Notes
1	Client SSN	char(9)	Social security number	
2	ACES Client ID	char(9)	ACES client ID. Identifies person.	
3	Date of Birth	date time	Client's date of birth	
4	Sex	char(1)	Client gender. M, F, or U for unknown.	
5	Race	char(3)	Client's race/ethnic code.	Lookup
6	Language	char(3)	Client's primary language.	Lookup
7	Disability Code	char(3)	Disability code.	Lookup
8	Marital Status		Client's marital status: - Never Married - Married - Divorced - Widowed - Unknown	New attribute
9	Number in Household	int	Number of members in client's household.	
10	Balance Due	money	Total balance due which includes both principal and interest balances for all obs for which the client is being tracked.	This value is calculated but also stored. Must be updated any time a transaction posts against any Obligation on which the Client is Primary or Secondary.

#	Attribute Name	Type Info	Description	Notes
11	Shelter	char(2)	After 1995, this field is ACES living arrangement.	
12	Client Statement Status	[Lookup]	Status value indicating whether or not the Client should receive statements, provided they are otherwise included in the configurable selection criteria that determine who should receive statements.  Set and used by RAs to prevent statements from being issued at undesirable moments.	See Business System Requirements for rules governing how this value is set/derived.
13	Client Assistance Status	[lookup]	Status of whether the Client is on or off assistance, and if they are off assistance, whether they have been off longer than 90 days.	See Business System Requirements for rules governing how this value is set/derived.
14	Client Bankruptcy Status	[lookup]	Status of whether the Client is in the process of filing for bankruptcy, and if so, which type (Chapter 7, Chapter 11, or Chapter 13).	See Business System Requirements for rules governing how this value is set/derived.

## 15.2. Entity: Client Name

### 15.2.1.1. Business Description

Client Name is stored as a separate entity to support Clients with multiple names (for example those using one or more aliases), and to keep a record of past names should their name change (for example as the result of a marriage).

### 15.2.1.2. Relationships

Each Client Name record is specific to one Client. A given Client can have one or more names, and must always have a "Current" name.

### 15.2.1.3. Attributes

#	Attribute Name	Type Info	Description	Notes
1	First Name	char(40)	Client's first name.	Names need to be parsed in conversion.

#	Attribute Name	Type Info	Description	Notes
2	Middle Name	char(40)	Client's middle name.	
3	Last Name	char(40)	Client's last name.	TOP has separate last name field due to CRS not originally storing LN separately. Needs to be merged in data conversion.
4	Name Type	[Lookup]	One of: - Legal - Maiden - AKA	
5	Is Current	[Boolean]	Indicates the name is the Client's current name. Client must have one and only one name where Is Current = TRUE.	
6	Effective Date	Date	Default to the date of entry.	

### 15.3. Entity: Client Address

#### 15.3.1.1. Business Description

Client Address is a separate entity to support Clients using more than one address (for example mailing vs. physical), and to track address history over time when Clients change residences.

#### 15.3.1.2. Relationships

Each Client Address is specific to one Client. A given Client can have any number of addresses (including zero).

A Client cannot have more than one physical address, nor more than one mailing address, at a time.

#### 15.3.1.3. Attributes

#	Attribute Name	Type Info	Description	Notes
1	In Care Of		c/o line in case client mailing address is not their residence – not uncommon.	
2	Street 1	PIC X(24)		
3	Street 2	PIC X(24)		
4	City	PIC X(15)		

#	Attribute Name	Type Info	Description	Notes
5	State			
6	ZIP Code			
7	ZIP+4			
8	Country	PIC X(03)		State/Country currently stored as one field.
9	Is Mailing Address	Boolean	Flag that indicates whether the address should be treated as a mailing address	
10	Is Physical Address	Boolean		
11	Is TOP Address	Boolean	Flag indicating whether the address record is the one to be used for TOP processing (60 day letter).	TOP Addresses can be edited, but only if their source was NOT the FNS system. Always use this address for 60 Day Letter.
12	Effective Date	Date	Default to the date of entry.	TOP Addresses effective within the last 6 months prevent new "match" requests.
13	Address Source		Where the address came from. Addresses that originate from FNS cannot be edited or overwritten.	
14	Address Notes		User-supplied notes regarding the address.	

## 15.4. Entity: Client Phone

### 15.4.1.1. Business Description

Client Phone is a separate entity to support Clients with more than one phone number (e.g. Work, Home, Mobile), and to track phone history over time.

### 15.4.1.2. Relationships

Each Client Phone is specific to one Client. A given Client can have any number of phone #s (including zero).

### 15.4.1.3. **Attributes**

#	Attribute Name	Type Info	Description	Notes
1	Client Phone Number	PIC X(10)		
2	Phone Type	[lookup]	Phone type: - Work - Mobile - Home	
3	Can Be Reached At Flag	[Boolean]		Stored on MF as “CLI-CBR” (an actual phone #)
5	Effective Date	Date		

## 15.5. Entity: Client Employment History

### 15.5.1.1. **Business Description**

Client Employment History records are created by the system as part of its processing of the “ES Match” data interface. Under certain conditions, a record is created to capture information about a change in the Client’s employment status. Employment status is important to RAs because it affects the Client’s ability to repay an obligation.

### 15.5.1.2. **Relationships**

A given Client Employment History record belongs to a single Client. A Client may have any number of Client Employment History records.

Employer information is captured as part of the match record, because CRS does not maintain an indexed inventory of Employers – the information is specific to the matching event.

Users need to be able to add and maintain contact information about the Employer for a given ES Match (contact information is not currently included in the ES Match data interface) – for example, if they want to record the physical location where the Client is working, but need to also capture a different mailing address for sending an Order to Withhold or related correspondence.

### 15.5.1.3. **Attributes**

#	Attribute Name	Type Info	Description	Notes
1	Working As Name		The name the Client is working under.	This should be a pointer to one of the

#	Attribute Name	Type Info	Description	Notes
				Client's Client Name records. May not be available as part of the feed – RA must be able to select. Default to "Current" name.
2	Client Income	PIC S9(05)V99	Client's income from this employer.	Unclear what period the # covers. Probably a single payment.
3	Last Pay Date	PIC X(08)	Date the Client was most recently paid.	
4	Employer Name	PIC X(24)		
5	Employer ID		Unique ID from Employment Security that allows the system to recognize an employment event with a past Employer of the Client.	Tracking the ID here makes tracking Employers as separate entities unnecessary, and eliminates the need for a new feed.
6	ES Match Date		Date of the match (i.e. the date the record is created).	
<b>Client Employment History Employer Address (Any number, user-supplied)</b>				
6	Employer Address Line 1			See "Relationships", above, for use & rationale.
7	Employer Address Line 2			
8	Employer Address City			
9	Employer Address State			
10	Employer Address ZIP			
11	Employer Phone			
12	Address Notes			

## 15.6. Entity: Client Assistance History

### 15.6.1.1. Business Description

Client Assistance History records provide a means to track when a Client goes on or off any form of Public Assistance, Food Stamps, or Medical assistance.

The rules for whether the State can collect from a given Client require them to have been “off assistance” for a certain period of time. This is particularly important when “certifying” debt for TOP collection.

Historically this information has been tracked as attributes of the Client, so historical information was lost when a Client’s assistance status changed.

*Note: New rules are required for when to create Assistance History. For example, when a new Client is created, record(s) need to be created for the AU & Assistance Type; the same for a new Obligation on an existing Client (if no record already exists for that AU & Type).*

### 15.6.1.2. Relationships

A given Assistance History record is specific to a single Client. A given Client can have any number of Assistance History records.

### 15.6.1.3. Attributes

#	Attribute Name	Type Info	Description	Notes
1	Assistance Status		New status for Client for this type of assistance. <ul style="list-style-type: none"> <li>- Active</li> <li>- Pending</li> <li>- Inactive</li> </ul>	
2	Change Date		Date of the status change in the originating system.	Date is MMYYYY for Medical.
3	Paid-Through Date		For Inactive Clients, this is the best date for “Off Assistance” date calculations.	Currently not included in the ACES Client Update feed.
4	Assistance Type		Type of Assistance: <ul style="list-style-type: none"> <li>- PA (Public Assistance)</li> <li>- FS (Food Stamps)</li> <li>- Med (Medical)</li> </ul>	
5	AU#	char(10)		
6	Program Code	char(2)	(n/a for Medical)	
7	Program Type	char(1)	(n/a for Medical)	

#	Attribute Name	Type Info	Description	Notes
8	CSO	char(3)	(n/a for Medical) ? Originating office?	

## **15.7. Entity: Client Payment Plan (incl. OWD, WA, Direct Pay)**

### **15.7.1.1. Business Description**

Payment Plans are a new structure that does not exist in the “as-is” CRS system, which tracks only an amount and a date on the Client-Obligation record.

A Payment Plan is a record of an expected repayment schedule established with (or for) the Client. There are three existing collections processes that establish plans for repayment:

- Orders to Withhold (OWDs)
- Wage Assignments
- Repayment Agreements

Payment Plans are broken into three types – one for each process. The data and rules governing each type of Payment Plan vary slightly.

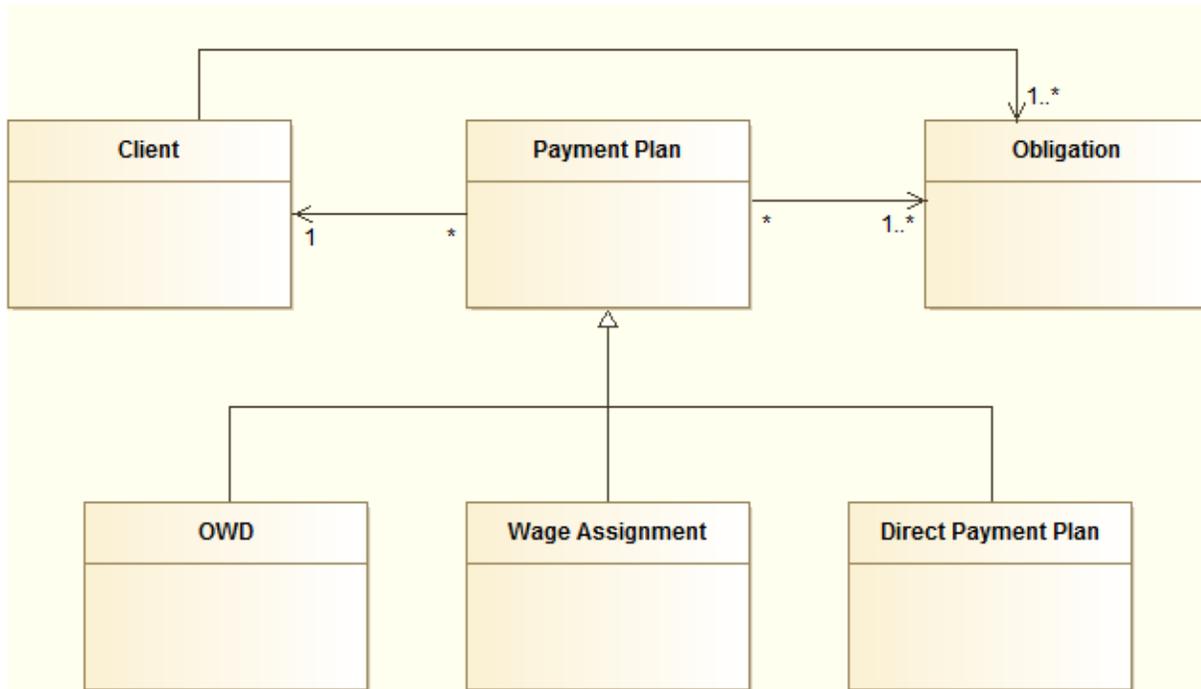
Sufficient data must be captured when the plan is established to support system-generated notifications of delinquent payments.

OWDs must also persist across employment events, while remaining specific to an Employer, so that re-employment events at the same Employer can be recognized by the system in case an unexpired OWD can be reused.

### **15.7.1.2. Relationships**

A Payment Plan is specific to exactly one Client, and to 1 or more of the Client’s Obligations. A Client can have any number of Payment Plans, including zero.

The following class diagram shows how Payment Plan types fit as Payment Plans, with Obligations and Clients.



### 15.7.1.3. Attributes

#	Attribute Name	Type Info	Description	Notes
1	Payment Plan Type	[lookup]	Captures how the plan was initiated; governs rules for additional data to be captured, and lifecycle of the plan. <ul style="list-style-type: none"> <li>- OWD</li> <li>- Wage Assignment</li> <li>- Direct Pay</li> </ul>	See sub-sections below for additional elements for each Type.
2	Activation Date	Date	Date the plan takes effect	
3	Payment Start Date	Date	First payment due date. Due date for one-time payments.	
4	Frequency	[lookup]	Defines the expected frequency of payment. <ul style="list-style-type: none"> <li>- One Time</li> <li>- Weekly</li> <li>- Monthly</li> <li>- Yearly</li> </ul>	
5	Day of Month	#	Used for Frequency = Monthly to specify which day of the month payment is due.	
6	Yearly Date	Date	Used for Frequency = Yearly to	

#	Attribute Name	Type Info	Description	Notes
			specify the date payment is due each year.	
7	Periodic Payment Amount	\$	Amount due in each payment.	
8	Total Repayment Amount	\$	Default to sum of outstanding debt across Obligations selected for the plan. Editable by user for all types. Does not necessarily equal the total debt.	
9	Hold Reason	[lookup]	Reason the Plan is being put on hold.	
10	Stay Start Date	Date	Start date of the Stay (prevents overdue notices being sent to the RA).	
11	Stay End Date	Date	End date of the Stay (re-enables overdue notices being sent to the RA).	
13	Cancellation Date	Date	Date the Plan was cancelled.	
14	Cancellation Reason	Text	Reason for cancellation (user entry)	
<b>Payment Plan Type = Order to Withhold</b>				
15	OWD Type	[lookup]	Type of Order to Withhold: <ul style="list-style-type: none"> <li>- Lottery</li> <li>- Property/Accounts</li> <li>- Earnings, Profit, &amp; Gain</li> <li>- Dept. of Revenue</li> </ul>	
16	Issue Date	Date	Date the OWD was generated and sent to the Employer.	
17	OWD State	[lookup]	Status of the OWD. See BSR document for detailed rules around State.	
<b>Payment Plan Type = Wage Assignment</b>				
18	Issue Date	Date	Date the WA was generated and sent to the Employer.	
19	Wage Assignment State	[lookup]	Status of the Wage Assignment. See BSR document for detailed rules around State.	
<b>Payment Plan Type = Direct Pay</b>				
20	Direct-Pay Payment Plan State	[lookup]	Status of the Direct-Pay Plan. See BSR document for detailed rules around State.	

## 15.8. Entity: Client-Obligation Relation

### 15.8.1.1. Business Description

The Client-Obligation Relation is the home for information about a Client that is specific to a particular Obligation for which they are in some way responsible.

Many of the processes and rules governing collections and repayment are specific to individual Clients and their relationship to a particular Obligation.

For example, a given Obligation may be collectible today for one responsible Client, but not for another, due to the second Client having not yet been “served” formal notice of the debt.

### 15.8.1.2. Relationships

Client-Obligation stores information about the relationship between a Client and an Obligation. A given Client-Obligation record is specific to, and must be unique to, a single Client and a single Obligation pair.

The relationship between Clients and Obligations is “many-to-many.” The Client-Obligation supports this requirement, as well as other data attributes, entity relationships, and rules that are specific to the relation, not to the Client or Obligation itself.

### 15.8.1.3. Attributes

#	Attribute Name	Type Info	Description	Notes
1	Served Date	Date	Date overpayment letter was served on the client.	
2	Service Status	[lookup]	Status of whether the Client has been served or not for this Obligation, and if they have been, whether it was more than 90 days ago.	See Business System Requirements for rules governing how this value is set/derived.
3	Admin Hearing Date	Date	Governs Admin Hearing Status – if a date is present, and the date is in the future, status = “Admin Hearing Pending”. Else status = “No Admin Hearing Pending”.	
4	Admin Hearing Status	[lookup]	Status of whether or not the Client is currently scheduled to receive an administrative	See Business System Requirements for rules governing how

#	Attribute Name	Type Info	Description	Notes
			hearing for the Obligation.	this value is set/derived.
5	SOL Date	Date	Statute of Limitations Date. Set by system automatically on Service Status change and/or changes to Lien(s) for this Client Obligation. Editable by user.	If edited by user (for example in the event of a court-ordered extension), must set the SOL Manual Override Indicator = TRUE to prevent the SOL Date from being recalculated.
6	SOL Manual Override Indicator	Boolean	Indicates the SOL Date was set manually by the user and must not be overridden by the system.	
7	SOL Status	[lookup]	Status indicating whether the Statute of Limitations (SOL) clock has been triggered, and if so, whether the Obligation has existed for more time than the limit defined by the laws that govern the Statute of Limitations for this type of debt.	See Business System Requirements for rules governing how this value is set/derived.
8	Collection Status	[lookup]	Summary rollup status that takes into account Client and Obligation information to determine whether the Client can be pursued to pay back the Obligation.	Goal is to make this field always derived based on other states.  See Business System Requirements for rules governing how this value is set/derived.
9	Judgment Flag	Boolean	Indicator used for reporting to courts on payment receipts for debt that resulted from a Court Judgment.	
10	TOP Certification Status	[lookup]		
11	TOP Match Date	Date	Date of the most recent "match" event from FNS.	A new match request will be sent for

#	Attribute Name	Type Info	Description	Notes
			Set by DI-12 "TOP Match/No Match" in the event of a Client-Obligation Match.	Client-Obs who become collectible more than 6 months after their last match. In that case, if a match is found, this date is overwritten with the date of the most recent match.
12	TOP 60 Day Letter Date	Date	Date the "60 Day Letter" was issued.	Set by the system on issuance of 60 day letter. (60 Day Letter may be issued automatically by the system, or by a user manually.)
13	Send Secondary TOP Letter Flag	Boolean	Indicator used to determine whether to also send a 60 Day Letter to a secondary Client on SNAP debt.  Set manually by the user, default = FALSE.	Technically a letter should go to the secondary Client if they are >18 years old and have a different address than the Primary.
14	TOP Match Error Code		Home for error code returned by FNS if a match error is returned in DI12.	TBD how to deliver this to the user so they can take appropriate action.

## 15.9. Entity: Client-Obligation Lien

### 15.9.1.1. Business Description

A Lien is a legal form of security interest granted over an item of property to secure the payment of obligation. RAs use Liens to ensure collection when, for example, a Client's real estate property is sold for profit.

The existence of a Lien can also extend the statute of limitations on collection of an Obligation, preserving the collectability of an Obligation for a longer period.

The system must maintain a record of certain key Lien attributes, because Liens can affect certain system logic (Statute of Limitation status).

### 15.9.1.2. Relationships

While Liens are typically issued to a single individual, it is possible to issue a single Lien to more than one person under certain circumstances, provided they are also responsible for all of the Obligations included under the Lien. Thus a Lien is specific to one or more Clients on one or more of the Obligations the Clients share responsibility for.

### 15.9.1.3. Attributes

#	Attribute Name	Type Info	Description	Notes
1	Lien Type	[lookup]	Type of Lien. (General or Specific)	
2	Lien Filed Date	Date	Date the Lien was generated and filed/sent to the County.	
3	County Recording Date	Date	Date the Lien was recorded by the County. This is the legal effective date of the Lien.	
4	Lien Amount	Money	Amount of the Lien (up to the total amount of the included Obligations).	
5	Lien Recording Number	Text	ID# issued by the County to legally and uniquely identify the Lien.	
6	County	[Lookup]	County the Lien was issued in.	
7	State	[Lookup]	State the County is in (given current laws and procedures, this will always be WA).	
8	Lien Release Date	Date	Date the Lien was released	
9	Lien Status	[Lookup]	User-maintained status of the Lien, which drives higher-level collections status and related functions.	

## 15.10. Entity: Obligation

### 15.10.1.1. Business Description

Obligations are the debt owed by individual Clients. A given Obligation may be a rollup of any number of overpayments that have occurred over time through a given program.

Obligations are central to accounting. An “account” is in effect created when a new Obligation is entered. Transactions are applied to Obligations.

### 15.10.1.2. Relationships

While an Obligation may be a rollup of any number of overpayments that have occurred over time, CRS does not have access to records of the original overpayment transactions as data. Entry of the obligation establishes the ‘account’. Any number of Transactions can be applied to the Obligation.

A given Obligation is associated with one or more Clients, exactly one of which must be the “Primary” Client for the Obligation. All other Clients are “secondary” on the Obligation (see also the “Client-Obligation Relation” entity).

### 15.10.1.3. Attributes

#	Attribute Name	Type Info	Description	Notes
1	Obligation ID	char(13)	Unique ID for each obligation in the Client Receivable System (CRS). Created from the CFS case number under which the overpayment was originally established.  Debt ID # comes from ACES as the AU#(9 digits) then 3 digit ID# added by CRS(101 for 1st debt then 102,103 etc.) This becomes the 12-digit obligation# / on SSPS cases, the # is the CSO# + F + 6digits+-+single digit + (101 on first debt then 102, 103 etc.)	“As-is” element
2	Originals	char(3)	Original Community Service Office (CSO). Local DSHS offices.	“As-is” element
3	Original Program	char(1)	Original program – IT IS.	“As-is” element
4	LienInd	char(2)	Identifies type of lien against this obligation.	“As-is” element
5	InterestAccruingInd	char(1)	“Y” indicates interest is accruing.	“As-is” element
6	FIPInd	char(1)	“Y” indicates obligation is Family Independence Program (FIP).	“As-is” element
7	RecoupableInd	char(1)	“Y” indicates obligation is recoupable.	“As-is” element
8	RepayReqdInd	char(1)	“Y” indicates a repayment agreement is required to post a	“As-is” element

#	Attribute Name	Type Info	Description	Notes
			recoupment to the obligation.	
9	MedicalInd	char(1)	“Y” indicates obligation is medical.	“As-is” element
10	ERPInd	char(1)	“Y” indicates obligation is ERP. Note: ERP may stand for Extended Real Property. Not certain.	“As-is” element
11	OriginalAmt	money	Original amount of the obligation.	“As-is” element
12	Principal Balance	money	Current balance of principal amount of obligation.	“As-is” element
13	Interest Balance	money	Current balance of interest accrued on principle amount of obligation.	“As-is” element
14	Interest Paid	money	Total interest paid on this obligation.	“As-is” element
15	WriteOffAmt	money	Amount of obligation written off.	“As-is” element
16	Current Balance	money	Current balance of principal and interest.	“As-is” element
17	BeginMonthBalance	money	Balance at beginning of current month.	“As-is” element
18	BeginQuarterBalance	money	Balance at beginning of current quarter.	“As-is” element
19	BeginYearBalance	money	Balance at beginning of current year.	“As-is” element
20	Aging30DaysAmt	money		“As-is” element
21	Aging60DaysAmt	money		“As-is” element
22	Aging90DaysAmt	money		“As-is” element
23	Aging120PlusAmt	money		“As-is” element
24	ACESPgmCode	char(2)	ACES field for account coding.	“As-is” element
25	ACESPgmType	char(1)	ACES field for account coding.	“As-is” element
26	ACESMedCvrg	char(3)	ACES field for account coding.	“As-is” element
27	FinRespError	char(1)	Financial responsibility for overpayment could not be determined.	“As-is” element
28	BeginOccurDate	date time	Date which overpayment began.	“As-is” element
29	EndOccurDate	date time	Date which overpayment ended.	“As-is” element
30	LastPmtDate	date time	Date when most recent receipt or recoupment was posted to the obligation.	“As-is” element

#	Attribute Name	Type Info	Description	Notes
31	OverPmtLetterDate	date time	Date on overpayment letter. Should be date letter was created.	"As-is" element
32	Entered Date	date time	Date obligation appeared on system.	"As-is" element
33	Zero Date	date time	Date obligation went to zero or a credit balance.	"As-is" element
34	Folder Name	varchar(40)	Name under which the obligation is filed in the file room.	"As-is" element
35	SOL Date	char(6)	Date which statute of limitations expires for this obligation.	"As-is" element
36	ObType	char(3)	Type or program that the overpayment resulted from.	"As-is" element
37	ObReason	char(3)	Reason for overpayment.	"As-is" element
38	ObServ	char(4)	SSPS service code. Will be replaced by separate dataset to allow for many occurrences of SSPS codes per obligation.	"As-is" element
39	ObProj1	char(3)	User-defined.	"As-is" element
40	ObProj2	char(3)	User-defined.	"As-is" element
41	ObProj3	char(3)	User-defined.	"As-is" element
42	ObProj4	char(3)	User-defined.	"As-is" element
43	ObProj5	char(3)	User-defined.	"As-is" element
44	Write-off	char(3)	Code indicating why balance on obligation was written off.	"As-is" element
45	Deduct Code	char(2)	Deduction coding. M-form code a recoupment derived from obligation type and reason.	"As-is" element
46	LastClientDesignatorInd	char(1)	Last client designator used.	"As-is" element
47	Stay Reason	Lookup	Reason collection is stayed for the Obligation	New
48	Write-Off Reason	Lookup	Reason the Obligation was written off.	New
49	Cancellation Reason	Lookup	Reason the Obligation was cancelled.	New (not = Write-Off Reason)
50	Referral Source	Lookup	Record of what division/program originally identified the overpayment and	This is different than identifying the funding source from

#	Attribute Name	Type Info	Description	Notes
			referred it to OFR.	which the overpayment was made (which is identified by the Obligation Type). For example, ACES may feed CRS a SNAP overpayment discovered by FEMS (fraud).

## **15.11. Entity: Obligation AFRS Code Detail**

### **15.11.1.1. Business Description**

Obligation AFRS Code Detail records store the AFRS Coding for a given Obligation. This information is applied later to Transactions that are posted to the Obligation.

The AFRS Coding flows back to the statewide accounting system, AFRS, with the Transactions, so that the debit/credit can be applied to the program from which the overpayment originated.

### **15.11.1.2. Relationships**

SSPS obligations (ObType “123” or “142”) will have at least one AFRS Code detail record. ACES Obligations can have any number of AFRS Code Detail records, including zero.

(CRS is dependent on ACES for this data, so if it is not present at the time the Obligation is first created in CRS, then the Obligation will have zero AFRS Code Detail records.)

### **15.11.1.3. Attributes**

#	Attribute Name	Type Info	Description	Notes
1	App. Index			ACES
2	Program Index			ACES
3	Sub-Object			ACES
4	Sub-Sub Object			ACES
5	Org Index			ACES
6	Alloc			ACES
7	MOFS			ACES
8	Project			ACES
9	Sub-Project			ACES
10	Project Phase			ACES

#	Attribute Name	Type Info	Description	Notes
11	Major Group			ACES
12	Source			ACES
13	Sub-Source			ACES
14	Service Code	char(5)		SSPS
15	SourceOfFunds	char(1)		SSPS
16	Reason Code	char(2)		SSPS
17	OrgIndex	char(4)		SSPS & ACES
18	Primary Flag	Boolean	Indicates this is the primary Obligation (for automated transaction coding). Default = TRUE on first record.	

## 15.12. Entity: Transaction

### 15.12.1.1. Business Description

Any action or event that affects the balance of an Obligation must be entered as a Transaction. The only way to affect the balance of an Obligation is to enter a Transaction.

Transactions can increase or decrease the balance of the Obligation. Adjustments can be made to change the balance, move a receipt or recoupment, or reverse an error. Once posted, a transaction cannot be changed.

Transactions also hold the individual attributes that, taken together, comprise the AFRS line of coding for the Transaction. Transactions not posted through Batch entry have zero Batches.

### 15.12.1.2. Relationships

A given Transaction applies to exactly one Obligation. Transactions that are posted through Batch entry have exactly one Batch record. Transactions not posted through Batch entry have zero Batches.

### 15.12.1.3. Attributes

#	Attribute Name	Type Info	Description	Notes
1	Batch ID		Pointer to the Batch that created the transaction (if any).	Only applies to transactions created by Batch.
2	Batch Line Item		Pointer to the line within the Batch that created the transaction.	Only applies to transactions created by Batch.

#	Attribute Name	Type Info	Description	Notes
4	Description	char(25)	Short narrative to describe or identify the receipt, recoupment or adjustment	
5	LineItemNo	NA	Line item number in batch. <i>Not populated.</i>	
6	TranAmt	Money	Dollar amount of the transaction. +99999999.99	
7	Tran Date	date time	Date receipt was received by OFR.	
8	Input Date	Date time	Date obligation was affected by the transaction.	
9	Tran Type	Lookup	Transaction type	
10	App. Index		AFRS Coding Element	ACES
11	Program Index		AFRS Coding Element	ACES
12	Sub-Object		AFRS Coding Element	ACES
13	Sub-Sub Object		AFRS Coding Element	ACES
14	Service Code	char(5)	AFRS Coding Element	SSPS
15	SourceOfFunds	char(1)	AFRS Coding Element	SSPS
16	Reason Code	char(2)	AFRS Coding Element	SSPS
17	OrgIndex	char(4)	AFRS Coding Element	SSPS & ACES

### **15.13. Entity: Accounting Batch**

#### **15.13.1.1. Business Description**

When manually entering Transactions, Accountants use “Batch” functionality to group their entries. Grouping entries in this way is an accounting technique that allows for validation by summation: if the computed total of the Batch line items matches what the user independently computed as the total, then the amounts were most likely entered correctly and the Batch is submitted.

The result of submitting a successful Batch is the creation of Transaction records. A record of what was entered as part of the Batch (the Batch Line Items) is stored with the Batch, independently from the Transactions.

#### **15.13.1.2. Relationships**

A Batch is simply a record of the entry of a collection of one or more ‘draft’ Transactions. Transactions that are posted through Batch entry point back to exactly one Batch record. Transactions not posted through Batch entry have zero Batches.

### 15.13.1.3. Attributes

#	Attribute Name	Type Info	Description	Notes
1	Batch #		System-supplied Batch ID#.	
2	Batch Type		System-supplied	
3	Line Item Count		User-supplied.	
4	Obligation ID Hash		User-supplied. External rules for how to arrive at the hash.	
5	Batch Total		User-supplied (calculated externally and written on a piece of paper).	
<i>For each line item in the Batch:</i>				
6	Line #		Line item # (in sequence) in the Batch (max of 10 per batch).	10 max to lower risk of entry error.
7	Transaction Date			
8	Obligation ID			
9	Payer Code			
10	Transaction Code			
11	Amount			
12	Description			
13	Name		User-supplied value for the Name of the person who submitted payment (could be anyone).	Doesn't make it to Transaction.

## 15.14. Entity: Narrative

### 15.14.1.1. Business Description

Narrative Records provide a narrative history of actions and events on a Client. Some Narratives are created as the result of system events. Others are entered directly by the user as a note for future reference.

*Note: The attributes listed here for Narrative are from the "as-is" system and constitute the minimal attributes needed. It is expected that a CRS replacement system will provide a feature set that either augments the Narrative function or renders it obsolete. See also "Narratives" in the Business System Requirements.*

### 15.14.1.2. Relationships

Narrative records are for a single Client. A given Client can have any number of Narrative records.

### 15.14.1.3. Attributes

#	Attribute Name	Type Info	Description	Notes
1	Total Client Balance	PIC S9(8)V99 USAGE COMP	CLIENT BALANCE AT THE TIME NARRATIVE WAS CREATED	
2	Narrator	PIC X(04)	ID OF USER WHO WROTE NARRATIVE OR EXECUTED TXN WHICH GENERATED THE NARRATIVE	
3	Comments	PIC X(240)	NARRATIVE ITSELF	
4	Date	PIC X(08)	Date/time of the narrative.	
5	Time	PIC X(08)	Date/time of the narrative.	

## 16. Lookup Tables & Codes

The following table is an inventory of lookup tables/lists required by the system. It is a combination of existing lookup tables in the CRS MF system, and newly identified lists that will be required to satisfy the “to-be” requirements.

This low-level implementation detail was captured during the early requirements phase and is provided as general information for the benefit of sizing. This inventory of tables & codes will need some revision depending on the final implementation solution, and of course list values are key component of detailed design & implementation.

Business Name	MF Name	Description	Notes
Race/Ethnic Code	CRS-RACE-REC	RECORD CONTAINING A RACE/ETHNIC CODE AND A SHORT DESCRIPTION FOR THE CODE.	
Grant Program Letters	CRS-GRTPRGM-REC	THIS RECORD CONTAINS GRANT PROGRAM LETTERS AND A BRIEF DESCRIPTION OF THAT PROGRAM.	
Payment Priority Matrix	CRS-PRIORITY-REC	PRIORITY MATRIX. CONTAINS THE PRIORITY OF AN OBLIGATION GIVEN THE OBLIGATION REASON AND TYPE.	Current single MF table handles Pmts and Recoupments.
Recoupment Priority Matrix	n/a	Recoupment priority MATRIX. CONTAINS THE PRIORITY OF AN OBLIGATION GIVEN THE OBLIGATION REASON AND TYPE.	
n/a	CRS-RECPACT-REC	THIS IS A TABLE, BASED ON OB PRIORITY VALUES, WHICH SPELLS OUT THE CORRECT RECOUPMENT TYPE FOR REGULAR AND FINAL DEDUCTIONS.	Is this the current recoupment priority matrix? (Was told there was not one.)
Transaction Codes	CRS-TRANS-REC	THIS RECORD CONTAINS ALL ALLOWABLE TRANSACTION CODES AND A BRIEF DESCRIPTION.	

Business Name	MF Name	Description	Notes
Shelter Codes	CRS-SHELTER-REC	THIS RECORD CONTAINS ALL ALLOWABLE SHELTER CODES AND A BRIEF DESCRIPTION.	
Lien Codes	CRS-LIENCD-REC	THIS RECORD CONTAINS ALL ALLOWABLE LIEN CODES AND A BRIEF DESCRIPTION FOR EACH.	Probably retire (see Lien Types)
n/a	CRS-CMC-REC	THIS RECORD CONTAINS ALL ALLOWABLE CASE MANAGEMENT CODES.	
Valid CSO	CRS-CSO-REC	THIS RECORD CONTAINS ALL ALLOWABLE CSO NUMBERS.	CSO = AU Is this currently used?
Language Codes	CRS-LANG-REC	RECORD CONTAINING A LANGUAGE CODE AND A SHORT DESCRIPTION FOR THE CODE.	Important for statements and any other language-dependent forms.
Disability Codes	CRS-DIS-REC	RECORD CONTAINING A DISABILITY CODE AND A SHORT DESCRIPTION FOR THE CODE.	
n/a	CRS-OSE-REC	RECORD CONTAINING OSE OFFICE NUMBERS AND THEIR NAMES.	Is this currently used?
Transaction Posting Rejection Reasons	CRS-REJ-REC	RECORD CONTAINING REJECT REASONS AS TO WHY A TRANSACTION DID NOT POST TO AN OBLIGATION.	
n/a	CRS-FFL-REC	RECORD CONTAINING INFORMATION USED TO CREATE FILE FOLDER LABELS FOR NEW OBLIGATIONS	Is this currently used?
n/a	CRS-FSREASON-REC	RECORD CONTAINING INFORMATION USED TO CREATE A REPORT WHICH LISTS ALL REASON	Is this currently used?

Business Name	MF Name	Description	Notes
		CHANGES TO FS OBLIGATIONS.	
n/a	CRS-CLI-CASE-MGMT.-REC	THIS RECORD CONTAINS ACTIVE CASE MANAGEMENT CODES. IT WILL BE ASSOCIATED WITH A CLIENT.	Not used.
Medical Coverage Group Codes	CRS-MED-CVRG-GRP-REC	ACES MEDICAL COVERAGE GROUP CODES, DESCRIPTIONS, AND THE PGM CODE EACH IS VALID WITH	For SSPS?
ACES Program Codes and Types	CRS-ACES-PGM-REC	ACES PROGRAM CODES AND TYPES, AND THE "CATEGORY" (PA, FS, OR MA) THAT EACH PGM CODE BELONGS TO	Important for processing ACES feeds
Overpayment Reason Code Mapping	CRS-ACES-OVRPMT-RSN-REC	ACES OVERPAYMENT REASON CODES, AND THE CRS REASON CODES TO WHICH THEY TRANSLATE.	Maps ACES reason codes to CRS codes.
Obligation Types	n/a	Include "TOP Valid" indicator for TOP processing logic.	Can be used to control other processing as well.
Obligation Reasons	n/a	Include "TOP Valid" indicator for TOP processing logic.	Can be used to control other processing as well.
OWD Types	n/a	- Lottery - Property/Accounts - Earnings, Profit, & Gain	

Business Name	MF Name	Description	Notes
OWD Stop Reasons	n/a	<ul style="list-style-type: none"> <li>- Pre-existing 25% Garnishment</li> <li>- Pre-existing 50% Child Support Garnishment</li> <li>- Tribal Employer</li> <li>- IRS Garnishment Termination</li> </ul>	Covers both Stay & Rejection.
Marital Status	n/a	<ul style="list-style-type: none"> <li>- Never Married</li> <li>- Married</li> <li>- Divorced</li> <li>- Widowed</li> <li>- Unknown</li> </ul>	
[Business Logic Status Codes]	n/a	<p>Status code lists (each of these has its own set of possible state values):</p> <ul style="list-style-type: none"> <li>- Client Assistance Status</li> <li>- Client Bankruptcy Status</li> <li>- Client Obligation Service Status</li> <li>- Client-Obligation Admin Hearing Status</li> <li>- Client-Obligation SOL Status</li> <li>- Client-Obligation Collection Status</li> <li>- TOP Certification Status</li> <li>- TOP Eligibility Status</li> <li>- OWD Status</li> <li>- Wage Assignment Status</li> <li>- Direct-Pay Payment Plan Status</li> </ul>	<p>See Business System Requirements for complete inventory of Status lifecycles and states.</p> <p>Some of the state values for certain stateful entities will need to be available to the user under certain conditions. Implementation detail.</p>
Payment Plan Types	n/a	<ul style="list-style-type: none"> <li>- OWD</li> <li>- Wage Assignment</li> <li>- Direct Pay</li> </ul>	
Payment Frequencies	n/a	<ul style="list-style-type: none"> <li>- One Time</li> <li>- Weekly</li> <li>- Monthly</li> <li>- Yearly</li> </ul>	

Business Name	MF Name	Description	Notes
Payment Plan Hold Reasons		- Stay - Deferral -	
Lien Types	n/a	- General - Specific	
WA State Counties	n/a	List of possible counties in WA (for Lien filing).	
US States	n/a	List of US States	
Address Sources	n/a	- TOP - ACES - User Input	Important for certain TOP Logic (addresses that originate from TOP cannot be edited).  ACES addresses shouldn't clobber other addresses.
Transaction Types	n/a	Types are currently maintained on paper/spreadsheet outside the system.	Will have opportunities for meta info to enforce business logic.
Batch Types	n/a		Batch attribute. Types will depend on implementation details.

Business Name	MF Name	Description	Notes
Obligation Stay Reason	n/a	- Pending Class Action - Pending DFI Confirmation	Formerly handled by status codes.
Obligation Write-Off Reason	n/a	- Write-off: Exception to Policy - Write-off: No Authority to Collect - Write-off: Low balance [automated]	Formerly handled by status codes.
Obligation Cancellation Reason	n/a	- TBD	Not the same as write-off reason.
Client Statement Status	n/a	- Block - Always send - Send if criteria met	
Client Bankruptcy Status	n/a	- Chapter 7 - Chapter 11 - Chapter 13	

## 17. Notes on Data Conversion

### 17.1. Table-Driven States

Much of the state-driven functionality in the existing CRS system is driven by separate entities (tables) for separate states in the database.

For example, “Posted Transaction” is its own entity. “History” is another example – when a case satisfies certain criteria for it to be retired, it and its elements are moved to “History,” which literally moves all of the data into a set of “History” tables whose structures mirror the non-History tables (with some exceptions).

Any conversion of the data will need to account for these ‘wrinkles’ (and not build them into the replacement data structure). The CRS business logic depends on layered states. The

Business System Requirements normalize the state information and define the business logic in terms of those states, providing a solid surface for a detailed design that can “iron out” the wrinkles.

## **17.2. Obligation Status Code**

It may be a good idea in conversion to keep Client-Obligation Status Code as a “legacy status” in conversion – some of the states were used for multiple purposes, and it will be impossible to completely map those into the new status variables without manual intervention.

For example, “813 – Wage Assignment on File” has been being used for some time as a way to stop TOP collection due to any kind of payment agreement being put in place to pay back food debt.

Also, some other states have been out of use for some time (for example “801-Probate”, which is now handled by another system) but a record needs to be maintained of those states.

The attached file is an analysis document that was used to distill the business requirements out of the legacy status codes. The Status Code field was used to mean different kinds of things depending on whether the case was collectible or not. Valuable information was often lost as the case evolved over time and the Status Code was changed to reflect the latest event or the intended next action. The file is included here for general reference in support of conversion analysis.



CRS Status Codes  
and Obligation Reaso

## **17.3. TOP CRS**

TOP CRS presents a special conversion challenge.

- TOP CRS data is in a separate database.
- The data flows in from CRS (and never back).
- Some of the data is changed when imported to TOP CRS, and some new attributes are created.
- Users have the ability to edit some of the data in TOP CRS, creating discrepancies.
- System processes throughout the TOP Certification lifecycle update certain attributes to maintain the attributes that drive its definition of Certification status.

Among the goals of CRS Replacement for TOP CRS is to re-integrate the data. Some of the low-level attributes that are specific to the TOP CRS database should no longer be necessary, though they may still require evaluation as part of conversion – for example to determine the correct TOP Certification Status for a given Client-Obligation.

Some of the key data and data operations in TOP CRS are workarounds to handle issues with the data received from upstream systems – especially unpredictable assistance information in the ACES client update feed. If these issues persist, new solutions may be required to address them in a new system.

Some of the data that flows into TOP CRS is also scrubbed to satisfy TOP Requirements. For example, Client Name is parsed into First/Last name fields; if a more current name is received from TOP, does/should that flow into a new Client Name record?

For CRS data that is also editable in TOP CRS, there will be cases where the data is different in the two databases. Decisions will be required around which data to use for conversion for these types of elements that are also editable in TOP CRS.

### **17.4. AFRS Coding**

AFRS Codes aren't stored in the CRS mainframe database today, except as a lookup table for run-time derivation and posting back to FSA/AFRS.

The CRS Replacement system does store AFRS codes, both for Obligations and Transactions. At Conversion time, decisions will be required about whether and how to add AFRS coding to existing Obligations and Transactions in CRS.

Also, SSPS Code Details have historically been tracked as a separate entity – with multiple records allowed per Obligation. The present Data Definition assumes a single entity can satisfy both SSPS Codes and AFRS codes. The existing SSPS codes will need to be converted accordingly.

## 18. Appendix A – CRS Mainframe Schema

The attached xls contains two worksheets with information extracted from the CRS mainframe database schema:

- “RecordDefs” lists all the unique Record Names from the CRS mainframe data schema, including the programmer’s description of what the record is for and how it is used.
- “FieldDefs” lists all the unique Field Names for each Record Name, including data type, and the programmer’s description of what the field is for and how it is used.

In many cases these “as-is” records, fields, and descriptions match the “to-be” CRS requirements; but in many cases they do not. This information is included here for reference only, not as part of the “to-be” specification.



CRS Schema.xlsx

A scanned copy of the schema diagram, showing table relationships, is also attached for reference.



CRS MF DB  
Schema.pdf

## 19. Appendix B – FSA SQL Data Structure

Certain existing external systems and processes rely on a SQL database that is programmatically updated based on periodic CRS data extracts (see the “Data Interfaces Specification” for definition of those extracts).

This SQL database is currently used by internal, manually-initiated OFR processes for generating Lottery reports, a monthly transaction detail report to ACES, and a New Hire report for use by RAs. (Note: All of these processes are listed in the Data Interfaces Specification for automation in the “to-be” system.)

This data may also be used by FSA/ISSD for lookups by the systems used to process Client payments (CRT, CAT, PC Cash, and the system that processes bar-coded payments automatically). The exact mechanism for moving this data into the broader “CARS” system is not elaborated here, but the CRS replacement system must continue to satisfy this data structure in export form for the benefit of such downstream functions (as defined by the data interfaces listed in the Data Interfaces Specification).

The attached document defines the logical structure, entities, attributes, and relationships of the data imported that SQL database from the CRS data extracts.

Most of the information in this document maps directly to, and originated from, the CRS Mainframe Schema. While much of this information is also reflected exactly in the “to-be” data definition above, it is included here only for reference, not as part of the “to-be” specification.



CRS Data  
Structures.doc

## 20. Appendix C – TOP CRS SQL Data Structure

CRS currently satisfies the requirements of the federal Treasury Offset Program (TOP) by taking a periodic snapshot of select CRS data and putting it in an external SQL database, used for the sole purpose of administering interaction with TOP.

All of the selection criteria and processing logic for what data to send to TOP, and how to process data received in return, is housed in the TOP CRS SQL database. Additionally, a small set of UI screens were developed for the TOP Administrator(s) to interact with the data in the TOP CRS database.

The data flow is one-way – that is, any updates to data in the TOP CRS SQL database are not reflected in the CRS MF database.

The attached files show the data relationships and field definitions for pertinent tables in the TOP CRS SQL database. Much of the information in the database flows directly into the TOP CRS Database. However some of it undergoes significant transformation based on explicit rules governing how federal data is managed.

The “to-be” Data Definition, in conjunction with the TOP rules defined in the Business System Requirements, and with the interfaces defined in the Data Interface Specification, supports these rules. The TOP CRS data structure information is included here for reference only, not as part of the “to-be” specification.



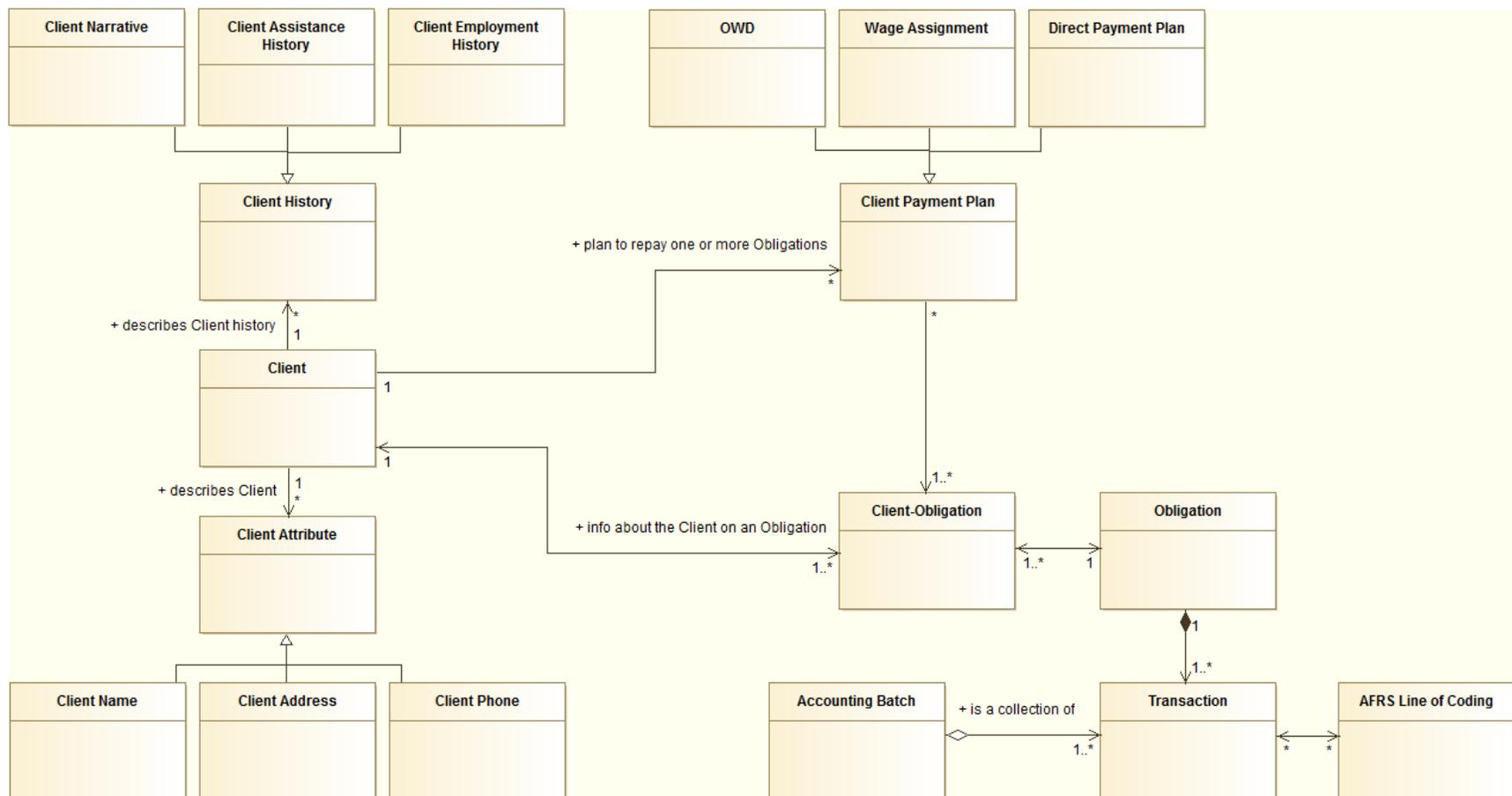
TOPCRS\_DBDiagram  
WithFKv2.vsd



TopCrsDataTypeLen  
gth.xls

## 21. Appendix D – Conceptual Class Diagram – All Entities

The Entity descriptions in the present document describe Entity-Entity relationships for each individual Entity. The following diagram represents those relationships graphically, across all the Entities, including multiplicity and intended navigability of the relationships. Please see the notes after the diagram for additional information.



Notes on the diagram:

1. Relationships:
  - a. Open triangle
    - i. Shows Generalization. Classes that have (point to) a generalization “super-class” are sub-classes that inherit all the attributes of the super-class.  
For example, OWDs, Wage Assignments, and Direct Payment Plans all share certain properties that belong to the Client Payment Plan class. This allows the business requirements to write rules that apply to all three sub-classes in simpler terms – that is, in terms of the super-class.
  - b. Open diamond
    - i. Shows Aggregation. Classes in an aggregation relationship can exist without the aggregator. The aggregation shows what the class with the open diamond touching it is an aggregation of. For example, an Accounting Batch is a collection of Transactions, but a Transaction can exist without a Batch.
  - c. Filled diamond
    - i. Shows Composition. Classes in a composition relationship cannot exist without the class they compose. The composition shows what the filled diamond touching it is composed of. For example, an Obligation is made of Transactions, and if the Obligation disappears, so do its Transactions – Transaction cannot exist without its Obligation.
  - d. Regular arrow
    - i. Shows intended “navigability”. For example, for a given Client, as a user I need to be able to see all their Client Payment Plans.
2. Multiplicity:
  - a. “\*” by itself means any number ( $\geq 0$ ).
  - b. “1..\*” means one or more.
  - c. Multiplicity designation next to a class defines how that class relates to the class on the opposite end of the line. For example, a Client can have any number of History records, but each History record has exactly one Client.
3. Two of the classes included on the diagram, “Client History” and “Client Attribute,” are not defined as formal business Entities in the present document. They are included in the diagram as useful generalizations of sub-classes that are defined as Entities in the present document. These generalization classes are added to better show class relationships patterns and groupings.



## *CRS Replacement Project* **“As-Is” Data Interfaces Specification**

Prepared by Critical Logic



#	Description	Changed By	Date
1.0	Preliminary working draft	Adam Richards	9/30/2013
2.0	Release for RFQQ (Request For Quote)	Adam Richards	10/31/2013
2.1	RFQQ Refresh: - Added 2 OFA interfaces	Adam Richards	11/13/2015

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## 23. Introduction

This Data Interface Specification describes the functional behavior of the existing CRS systems data interfaces to/from other systems. This document is not intended to define the specific implementation internals of the data interface processing for a CRS replacement system.

For each interface described here that is identified in the Business System Requirements as required for the “To-Be” system, the CRS replacement system must satisfy the functional requirements described herein. Specifically, inbound files must be processed, and outbound files must be generated, as defined.

This document describes “what” the current system does, but is not intended to stipulate “how” a replacement should accomplish it. Sufficient detail is provided to reveal the depth and breadth of the interface requirements for estimating purposes, and serve as a reference during implementation.

### *Included interface details:*

- Central inventory of Data Interfaces
- Interface Business Name
- External systems & filenames
- Mainframe Jobs & filenames
- Interface periodicity (daily, weekly, monthly, quarterly)
- General business description of processing logic where available, in terms of named file elements where possible (selection criteria, matching rules, etc.)
- Interface file definitions

### *Not included (to be defined for implementation):*

- Detailed from/to field mappings & data transformation logic
- Precise scheduling requirements
- Complete elaboration of processing logic in terms of all from/to data elements and literal values
- Sample records, while useful for analysis at implementation, are not included here due to security restrictions on public visibility of production data.
- New interfaces not already existing in the “as-is” system (these are identified in the Business System Requirements)

## 24. "As-Is" Interface Inventory

ID#	Interface Name	Mainframe Feed Name	MF Job#	Period	In/Out	Interfacing System(s)	Feed Description
DI-01	Daily ACES Referrals	ACES-REFERRAL-ACCUM	SCRSD1	Daily	In	ACES	Adds new clients & obligations from ACES.
DI-02	Daily ACES Recoupments	RECOUP-ACUM	SCRSD2	Daily	In	ACES	Credit account balances with any deductions that have been taken out of benefits paid through ACES to repay an obligation.
DI-03	Monthly Citibank Expungements	SCRS*EXP-TRAN	SCRSE1	Monthly	In	ACES	Monthly expunging data sent by Citibank thru ACES.
DI-04	Monthly Active Client Extract	SCRS*ACES-CLI-EXT	SCRSM0	Monthly	Out	ACES	Client ID & SSN for all "active" Clients.
DI-05	Monthly Recoupments	ACES-RECOUP-MTH	SCRSM1	Monthly	In	ACES	Credits account balances with any deductions that have been taken out of benefits paid through ACES to repay an obligation.
DI-06	Monthly Recoupment Delete Requests to ACES	SCRS*REC-CHG.-REQ	SCRSR0	Monthly	Out	ACES	Data to ACES for ACES to produce Delete-Deduction (stop) requests.
DI-07	Monthly ACES Client Update	SCRS*CR99-VRS2 sorted into SCRS*CLI-UPDATES	SCRSR1	Monthly	In	ACES	Client updates & deletes from ACES.
DI-08	CRS Monthly ACES Report	n/a	n/a (external)	Monthly	Out	ACES	Transaction detail file to show all individuals who should get credit for a given payment. Receipt of payment toward TANF debt affects their

ID#	Interface Name	Mainframe Feed Name	MF Job#	Period	In/Out	Interfacing System(s)	Feed Description
							eligibility for federal benefits (turns back the clock 1 month).
DI-09	SSPS Account Code History Load		SCRSL6	Daily	In		Loads current SSPS Account Codes from SSPS. Used to display the 390 screen with obligations displayed in the correct priority order.
DI-10	Quarterly SSPS ES Match		SCRSQ1	Quarterly	In		Employment Security matching. All outputs to report (not to DB).
DI-11	TOP Pre-Offset Address Request		STOPM1	Monthly	Out	FNS	Sends address request to feds in preparation for federal certification process.
DI-12	Top Match/No-Match		STOPM2	Monthly	In	FNS	Federal matches from the Pre-Offset Address Request. Triggers 60 day notification process.
DI-13	TOP Collection / Reversal Posting		STOPB1	Weekly	In	FNS	Payments made to FNS, recorded as transactions to update obligation balance.
DI-14	Weekly CRS Collections to TOP		STOPW2	Weekly	Out	FNS	Weekly FTROP extract to feds - reflects payments made to state. Important feed.
DI-15	Client Payments Validation - On Demand	CASH-VERIFY	SCRSD6	On Demand	In/Out	CRT, CAT, PC Cash	Payments recorded by remittance processing in CRT, CAT, or PC Cash – for intra-day validation during manual data entry of payments/ adjustments. (Same as D7 but does not pass the transactions to SCRSD1 for posting.)
DI-16	Client Payments Validation – Batch	CASH-VERIFY	SCRSD7, SCRSD1	Daily	In	CRT, CAT, PC Cash	Payments recorded by remittance processing in CRT, CAT, or PC Cash. (Same as D6 but passes the transactions to SCRSD1 for posting – i.e. it posts the transactions.)

ID#	Interface Name	Mainframe Feed Name	MF Job#	Period	In/Out	Interfacing System(s)	Feed Description
DI-17	Daily Client-Ob Relations Export	SCRS*CRS-CLI-OBL	SCRSD2	Weekly	Out	CRT, CAT, PC Cash	Full Client-Obligation extract. MF Job places file on FSA's ftp server (\\DSHS\fsa\FINDIVFTP\CRS\NCR\Prod\Import\):
DI-18	Daily Clients Export	SCRS*CLIENTS	SCRSD2	Weekly	Out	CRT, CAT, PC Cash	Full Client extract. MF Job places file on FSA's ftp server (\\DSHS\fsa\FINDIVFTP\CRS\NCR\Prod\Import\):
DI-19	Daily Obligations Export	SCRS*CRS-OBL	SCRSD2	Weekly	Out	CRT, CAT, PC Cash	Full Obligation extract. MF Job places file on FSA's ftp server (\\DSHS\fsa\FINDIVFTP\CRS\NCR\Prod\Import\):
DI-20	Daily SSPS Detail	SCRS*SSPSOBLINFO	SCRSD2	Weekly	Out	CRT, CAT, PC Cash	Full SSPS Obligation status info extract. MF Job places file on FSA's ftp server (\\DSHS\fsa\FINDIVFTP\CRS\NCR\Prod\Import\):
DI-21	Daily Transactions	SCRS*CRSTRANS	SCRSD2	Weekly	Out	CRT, CAT, PC Cash	Full Transaction extract. MF Job places file on FSA's ftp server (\\DSHS\fsa\FINDIVFTP\CRS\NCR\Prod\Import\):
DI-22	Monthly Statements		SCRSM2, SCRSM7, SCRSM8			ISSD	Generates monthly statements for transfer to IBM job (ISSD) that prints the statements into predefined forms using Flash Forms (customized by language), for preparation by Enterprise Services and actual mailing by Consolidated Mail.
DI-23	Daily Client-Ob Relations Export		SCRSD8	Daily (though typically run week or month end)	Out		Full extracts, used by TOP CRS, Ron Smith – anyone who needs a snapshot of the CRS data
DI-24	Daily Clients Export		SCRSD8	Daily (though typically	Out		Full extracts, used by TOP CRS, Ron Smith – anyone who needs a snapshot of the CRS data

ID#	Interface Name	Mainframe Feed Name	MF Job#	Period	In/Out	Interfacing System(s)	Feed Description
				run week or month end)			
DI-25	Daily Obligations Export		SCRSD8	Daily (though typically run week or month end)	Out		Full extracts, used by TOP CRS, Ron Smith – anyone who needs a snapshot of the CRS data
DI-26	Daily SSPS Detail		SCRSD8	Daily (though typically run week or month end)	Out		Full extracts, used by TOP CRS, Ron Smith – anyone who needs a snapshot of the CRS data
DI-27	Daily Transactions		SCRSD8	Daily (though typically run week or month end)	Out		Full extracts, used by TOP CRS, Ron Smith – anyone who needs a snapshot of the CRS data
DI-28	Lottery Report	n/a	n/a (external)	Monthly?	Out		Pulls data to be combined with data from other collections systems (outside CRS) to send to lottery for deductions from winnings to pay debt.
DI-29	New Hire Report	n/a	n/a (external)	Weekly	In		Actually a report. May be a duplicate of the feed in SCRSD1, which is perhaps not working, hence this one
DI-30	CRS Notices for Download		SCRSD4			Unknown (QTRAN)	
DI-31	OFA Obligations		SCRSD1	Weekly	In	DIS IBM/Famlink	
DI-32	OFA		SCRSD0	Daily	Out	DIS IBM/	

ID#	Interface Name	Mainframe Feed Name	MF Job#	Period	In/Out	Interfacing System(s)	Feed Description
	Obligation Transactions					Famlink	

## 25. “As-Is” Interface Specifications

### 25.1. DI-01 – Daily ACES Referrals

#### 25.1.1. Summary Info

<b>System</b>	ACES
<b>Ext. Filename</b>	DSHS300.RBFTE.DMJ4330A.P43030
<b>Int. Filename</b>	ACES-REFERRAL-ACCUM
<b>In/Out</b>	In
<b>Periodicity</b>	Daily
<b>Trigger</b>	MF Job SCRSD1
<b>Description</b>	Adds new clients & obligations from ACES

#### 25.1.2. Processing Description & Rules

##### 25.1.2.1. General Notes

-

##### 25.1.2.2. “As-Is” System

- File contains new Obligations and their associated Client(s) (up to 10).
- Client(s) for a given new Obligation may or may not be new.
- File may contain records that are not Referrals. CRS only processes referrals (where IN-ACE-REC-TYPE = “R”). All other record types are ignored.

##### 25.1.2.3. “To-Be” System

Must persist.

*New rules will need to be written for when to create Assistance History. For example, when a new Client is created, record(s) need to be created for the AU & Assistance Type; the same for a new Obligation on an existing Client (if no record already exists for that AU & Type). See the Business Data Definition document for further details on Assistance History.*

New requirement: Include AFRS coding

##### 25.1.2.4. Developer Notes

-

#### 25.1.3. File Layout

ACES-REFERRAL-ACCUM

Input to CRS daily SCRSD2 CRSB150D posting recoupments and adding new clients and obligations from ACES

```

01 WS-ACE-XTR-REC.
001001 05 IN-ACE-REC-TYPE PIC X(01 VALUE 'R' 'S' 'T'.
003010 05 IN-ACE-AU-ID PIC 9(09).
011011 05 IN-ACE-MOD-FLAG PIC X(01).
012012 05 IN-ACE-FIN-RESP PIC X(01).
013014 05 IN-ACE-LANG PIC X(02).
015054 05 IN-ACE-FF-TXT PIC X(40).
055118 05 IN-ACE-ADDR-LINE-1 PIC X(64).
119182 05 IN-ACE-ADDR-LINE-2 PIC X(64).
183210 05 IN-ACE-CITY PIC X(28).
211212 05 IN-ACE-STATE PIC X(02).
213221 05 IN-ACE-ZIP PIC X(09).
222223 05 IN-ACE-PGM-CODE PIC X(02).
224224 05 IN-ACE-PGM-TYPE PIC X(01).
225227 05 IN-ACE-MED-CVRG PIC X(03).
228228 05 IN-ACE-INCOME-IND PIC X(01).
229229 05 IN-ACE-OFA-IND PIC X(01).
230232 05 IN-ACE-CSO PIC 9(03).
233240 05 IN-ACE-OVERPAY-AMT PIC 9(6)V99.
241249 05 IN-ACE-FS-FED-AMT PIC S9(7)V99.
250258 05 IN-ACE-FS-ST-AMT PIC S9(7)V99.
051013 05 IN-ACE-EFFECTIVE-DATES.
259266 10 IN-ACE-BEG-DATE PIC X(08).
267274 10 IN-ACE-END-DATE PIC X(08).
275276 05 IN-ACE-REASON-CODE PIC X(02).
277284 05 IN-ACE-OP-LETTER-DATE PIC X(08).
285288 05 IN-ACE-OP-LETTER-TYPE PIC X(04).
051013 05 IN-ACE-0043LIENT-ID-INFO OCCURS 10.
289297 10 IN-ACE-CLI-ID PIC X(09).
298306 10 IN-ACE-CLI-SSN PIC X(09).
307318 10 IN-ACE-CLI-FNAME PIC X(12).
319319 10 IN-ACE-CLI-MNAME PIC X(01).
320338 10 IN-ACE-CLI-LNAME PIC X(19).
339346 10 IN-ACE-CLI-DOB PIC X(08).
347347 10 IN-ACE-CLI-SEX PIC X(01).
348350 10 IN-ACE-CLI-RACE PIC X(03).
351353 10 IN-ACE-CLI-HISP-ORIG PIC X(03).
354354 10 IN-ACE-CLI-DISABILITY PIC X(01).
355355 10 IN-ACE-CLI-DISABLE-TIME PIC X(01).
01 WS-ACE-SUM-REC REDEFINES WS-ACE-XTR-REC.
001001 05 IN-ACE-SUM-REC-TYPE PIC X(01).
002009 05 IN-ACE-SUM-PROCESS-DATE PIC 9(08).
010016 05 IN-ACE-SUM-REC-CNT PIC 9(07).
05 IN-ACE-SUM-REC-AMT-ALPHA.
017026 10 IN-ACE-SUM-REC-AMT PIC 9(08)V99.
051013 05 FILLER PIC X(932).

```

## 25.2. DI-02 – Daily ACES Recoupments

### 25.2.1. Summary Info

<b>System</b>	ACES
<b>Ext. Filename</b>	DSHS300.RBFTE.DMJ4340A.P43400
<b>Int. Filename</b>	RECOUP-ACUM
<b>In/Out</b>	In
<b>Periodicity</b>	Daily
<b>Trigger</b>	Mainframe Job SCRSD2
<b>Description</b>	Credits account balances with any deductions that have been taken out of benefits paid (“recouped”) through ACES to repay an obligation.

### 25.2.2. Processing Description & Rules

#### 25.2.2.1. General Notes

-

#### 25.2.2.2. “As-Is” System

File contains 3 types of recoupment records:

- New recoupment (ARMS-RECOUP-INFO-REC-TYPE-CD = 'R')
  - System searches for Client with matching Client ID
  - If found, record the Recoupment as a Pending Recoupment Transaction (see details below)
- Cancel recoupment (ARMS-RECOUP-INFO-REC-TYPE-CD = 'C')
- Recoupment Summary (ARMS-RECOUP-SUMMARY-REC-TYPE-CD = 'S')
- Recording Pending Recoupment Transactions
  - Find the appropriate Obligation
  - Record the transaction

#### 25.2.2.3. “To-Be” System

Must persist.

#### 25.2.2.4. Developer Notes

*The recoupments (deductions) are indeed run by same program only the monthly version is restartable. Only problem ever encountered is when ACES sends a recoupment with a new ACES-CLIENT-ID and they have not sent an update of that new ID thru CLIENT-UPDATES at month end (ACES back dates things). Recoupments posted at the end of a month belong to the next month.*

### 25.2.3. File Layout

SCRSD2

Post recoupments from the warrant process. CRSB611D reads the file provided by ACES and posts the recoupments to an appropriate obligation.

```

ARMSEC*****
ARMSEC* ARMS RECOUP INFORMATION RECORD LAYOUT. *
ARMSEC** ARMS-RECOUP-INFO-REC-TYPE-CD = 'R' (RECOUPMENT) *
ARMSEC* = 'C' (CANCEL) *
ARMSEC* ARMS-RECOUP-SUMRY-REC-TYPE-CD = 'S' (SUMMARY) *
ARMSEC*****
ARMSEC 01 ARMS-RECOUP-REC.
ARMSEC 05 ARMS-RECOUP-TRANSACTION.
ARMSEC 10 ARMS-RECOUP-INFO-REC-TYPE-CD PIC X(01).
ARMSEC 10 ARMS-RECOUP-INFO-AU-ID PIC 9(09).
122398 10 ARMS-RECOUP-CSO PIC 9(03).
122398** 15 FILLER PIC X(01).
122398** 15 ARMS-RECOUP-INFO-CSO PIC 9(02).
ARMSEC 10 ARMS-RECOUP-INFO-PGM-CD PIC X(02).
ARMSEC 10 ARMS-RECOUP-INFO-PGM-TYPE PIC X(01).
ARMSEC 10 ARMS-RECOUP-INFO-MED-GR-CD PIC X(03).
ARMSEC 10 ARMS-RECOUP-INFO-ISS-NUM PIC X(10).
ARMSEC 10 ARMS-RECOUP-INFO-BNFT-DT.
ARMSEC 15 ARMS-RECOUP-INFO-BNFT-CC PIC 9(02).
ARMSEC 15 ARMS-RECOUP-INFO-YYMM.
ARMSEC 20 ARMS-RECOUP-INFO-BNFT-YY PIC 9(02).
ARMSEC 20 ARMS-RECOUP-INFO-BNFT-MM PIC 9(02).
ARMSEC 15 ARMS-RECOUP-INFO-BNFT-DD PIC 9(02).
062609 10 ARMS-RECOUP-INFO-PMT-STD-AMT PIC 9(07)V99.
ARMSEC 10 ARMS-RECOUP-INFO-AUTH-PYE-NAME.
ARMSEC 15 ARMS-RECOUP-INFO-LAST-NAME PIC X(19).
ARMSEC 15 ARMS-RECOUP-INFO-FIRST-INIT PIC X(01).
ARMSEC 10 ARMS-RECOUP-INFORMATION OCCURS 2 TIMES.
ARMSEC 15 ARMS-RECOUP-INFO-RECOUP-CD PIC X(02).
ARMSEC 15 ARMS-RECOUP-INFO-RECOUP-AMT PIC 9(07)V99.
ARMSEC 10 ARMS-RECOUP-INFO-CL-DATA OCCURS 10 TIMES.
ARMSEC 15 ARMS-RECOUP-INFO-CL-ID PIC 9(09).
ARMSEC 15 ARMS-RECOUP-INFO-SSN PIC X(09).

ARMSEC 05 ARMS-RECOUP-SUMRY-REC REDEFINES ARMS-RECOUP-TRANSACTION.
ARMSEC 10 ARMS-RECOUP-SUM-REC-TYPE-CD PIC X(01).
ARMSEC 10 ARMS-RECOUP-SUM-PROCES-DT PIC X(08).
ARMSEC 10 ARMS-RECOUP-SUM-TOT-CANCEL-AMT PIC S9(09)V99.
ARMSEC 10 ARMS-RECOUP-SUM-TOT-RECOUP-AMT PIC S9(09)V99.
ARMSEC 10 ARMS-RECOUP-SUM-PROCES-REC-CNT PIC 9(07).
ARMSEC***** 10 FILLER PIC X(218).
062609 10 FILLER PIC X(230).

```

## 25.3. DI-03 – Monthly Citibank Expungements

### 25.3.1. Summary Info

<b>System</b>	ACES
<b>Ext. Filename</b>	
<b>Int. Filename</b>	SCRS*EXP-TRAN
<b>In/Out</b>	In
<b>Periodicity</b>	Monthly
<b>Trigger</b>	Mainframe Job SCRSE1
<b>Description</b>	Monthly expunging data sent by Citibank thru ACES

### 25.3.2. Processing Description & Rules

#### 25.3.2.1. General Notes

Monthly expunging data sent by Citibank thru ACES.

#### 25.3.2.2. “As-Is” System

1. For each Expungement record in the file:
  - a. For each ACES-CLIENT-ID in the record
    - i. Find the corresponding Client ID in CRS, matching on
      1. CLIENT-ID
      2. AU?
      3. Name?
    - ii. If none is found ???
    - iii. If one is found,
      1. Create a pending expungement transaction for that individual
      2. Don’t assign it to an Obligation
      3. Don’t update balances

Includes up to 3 Client ACES IDs.

#### 25.3.2.3. “To-Be” System

Must persist.

#### 25.3.2.4. Developer Notes

### 25.3.3. File Layout

SCRSE1 SCRS\*EXP-TRAN

```

01 EXPUNGING-HEADER-REC .
   05 HEADER-RECORD-TYPE          PIC X(02) .
   05 FILLER                      PIC X(10) .
   05 HEADER-RUN-DATE            PIC X(08) .

```

05	HEADER-RUN-TIME	PIC X(08).
05	FILLER	PIC X(66).
01	EXPUNGING-DETAIL-REC.	
05	DETAIL-RECORD-TYPE	PIC X(02).
05	DETAIL-ACES-CLIENT-ID.	
10	DETAIL-ACES-ID-1	PIC X(03).
10	DETAIL-ACES-ID-2	PIC X(03).
10	DETAIL-ACES-ID-3	PIC X(03).
05	DETAIL-FIRST-NAME	PIC X(15).
05	DETAIL-MIDDLE	PIC X(01).
05	DETAIL-LAST-NAME	PIC X(25).
05	DETAIL-AU-ID	PIC X(09).
05	DETAIL-SSN.	
10	DETAIL-SSN-1	PIC X(03).
10	DETAIL-SSN-2	PIC X(02).
10	DETAIL-SSN-3	PIC X(04).
05	FILLER	PIC 9(08).
05	DETAIL-AMOUNT-EXPUNGED	PIC S9(05)V99.
05	DETAIL-FUNDING-SOURCE	PIC X(01).
05	DETAIL-EXPUNGING-DATE	PIC 9(08).
01	EXPUNGING-TRAILER-REC.	
05	TRAILER-RECORD-TYPE	PIC X(02).
05	FILLER	PIC X(10).
05	TRAILER-RUN-DATE	PIC X(08).
05	TRAILER-RUN-TIME	PIC X(08).
05	TRAILER-RECORD-COUNT	PIC 9(06).
05	TRAILER-EXPUNGED-AMOUNT	PIC 9(09)V99.
05	FILLER	PIC X(49).

## 25.4. DI-04 – Monthly Active Client Extract

### 25.4.1. Summary Info

<b>System</b>	ACES
<b>Ext. Filename</b>	
<b>Int. Filename</b>	SCRS*ACES-CLI-EXT
<b>In/Out</b>	Out
<b>Periodicity</b>	Monthly
<b>Trigger</b>	Mainframe batch job SCRSM0
<b>Description</b>	Client ID & SSN for all "active" Clients to ACES, used by ACES to identify Clients for which it needs to return Client Updates (see DIS-07 "Monthly ACES Client Update").

### 25.4.2. Processing Description & Rules

#### 25.4.2.1. General Notes

-

#### 25.4.2.2. "As-Is" System

- Returns Client ID & SSN for all "active" Clients.
- "Active" is defined as:
  - Current Balance > 0

Note: "Current Balance" is a Client attribute, maintained by the various events that affect the total balance owed by a Client across their accumulated Obligation(s).

#### 25.4.2.3. "To-Be" System

Must persist.

#### 25.4.2.4. Developer Notes

-

### 25.4.3. File Layout

SCRSM0

```

01 WS-OUTPUT-REC.
   05 FILLER          PIC X(02) VALUES 'C '.
   05 WS-OUT-SSN      PIC X(09).
   05 WS-OUT-CLI-ID   PIC X(09).
```

## 25.5. DI-05 – Monthly Recoupments

### 25.5.1. Summary Info

<b>System</b>	ACES
<b>Ext. Filename</b>	DSHS300.RBFTE.DMJ4340M.P43400
<b>Int. Filename</b>	ACES-RECOUP-MTH
<b>In/Out</b>	In
<b>Periodicity</b>	Monthly
<b>Trigger</b>	Mainframe job SCRSM1
<b>Description</b>	Credit account balances with any deductions that have been taken out of benefits paid through ACES to repay an obligation.

### 25.5.2. Processing Description & Rules

#### 25.5.2.1. General Notes

-

#### 25.5.2.2. “As-Is” System

1. Find right Obligation to post the recoupment, match on
  - a. ARMS-RECOUP-INFO-AU-ID
    - i. If no match, use SSN
    - ii. Else if no match, use Grant#
2. Performs some edits (validating deduction codes, etc.)

#### 25.5.2.3. “To-Be” System

-

#### 25.5.2.4. Developer Notes

*ARMS-RECOUP-INFO-AU-ID as a key to get the obligation. If no match then the programs fetch via SSN and or Grant#*

### 25.5.3. File Layout

ACES-RECOUP-MTH

SCRSM1 POSTS RECOUPMENTS FROM THE WARRANT PROCESS. IT PROVIDES A MECHANISM FOR CREDITING OFR CLIENTS WHO HAVE HAD A DEDUCTION TAKEN FROM THEIR ASSISTANCE OR FOOD STAMP GRANT TO REPAY A PREVIOUS OVERPAYMENT. CRSB611M READS THE FILE OF RECOUPMENTS PROVIDED BY THE ACES AND POSTS THE RECOUPMENTS TO AN APPROPRIATE OBLIGATION.

FD RECOUP-FILE  
LABEL RECORDS STANDARD.

01 RECOUP-REC

PIC X(268).

```

ARMSEC
ARMSEC*****
ARMSEC* ARMS RECOUP INFORMATION RECORD LAYOUT. *
ARMSEC** ARMS-RECOUP-INFO-REC-TYPE-CD = 'R' (RECOUPMENT) *
ARMSEC* = 'C' (CANCEL) *
ARMSEC* ARMS-RECOUP-SUMRY-REC-TYPE-CD = 'S' (SUMMARY) *
ARMSEC*****
ARMSEC 01 ARMS-RECOUP-REC.
ARMSEC 05 ARMS-RECOUP-TRANSACTION.
ARMSEC 10 ARMS-RECOUP-INFO-REC-TYPE-CD PIC X(01).
ARMSEC 10 ARMS-RECOUP-INFO-AU-ID PIC 9(09).
122398 10 ARMS-RECOUP-CSO PIC 9(03).
ARMSEC 10 ARMS-RECOUP-INFO-PGM-CD PIC X(02).
ARMSEC 10 ARMS-RECOUP-INFO-PGM-TYPE PIC X(01).
ARMSEC 10 ARMS-RECOUP-INFO-MED-GR-CD PIC X(03).
ARMSEC 10 ARMS-RECOUP-INFO-ISS-NUM PIC X(10).
ARMSEC 10 ARMS-RECOUP-INFO-BNFT-DT.
ARMSEC 15 ARMS-RECOUP-INFO-BNFT-CC PIC 9(02).
ARMSEC 15 ARMS-RECOUP-INFO-YYMM.
ARMSEC 20 ARMS-RECOUP-INFO-BNFT-YY PIC 9(02).
ARMSEC 20 ARMS-RECOUP-INFO-BNFT-MM PIC 9(02).
ARMSEC 15 ARMS-RECOUP-INFO-BNFT-DD PIC 9(02).
ARMSEC 10 ARMS-RECOUP-INFO-PMT-STD-AMT PIC 9(07)V99.
ARMSEC 10 ARMS-RECOUP-INFO-AUTH-PYE-NAME.
ARMSEC 15 ARMS-RECOUP-INFO-LAST-NAME PIC X(19).
ARMSEC 15 ARMS-RECOUP-INFO-FIRST-INIT PIC X(01).
ARMSEC 10 ARMS-RECOUP-INFORMATION OCCURS 2 TIMES.
ARMSEC 15 ARMS-RECOUP-INFO-RECOUP-CD PIC X(02).
ARMSEC 15 ARMS-RECOUP-INFO-RECOUP-AMT PIC 9(07)V99.
ARMSEC 10 ARMS-RECOUP-INFO-CL-DATA OCCURS 10 TIMES.
ARMSEC 15 ARMS-RECOUP-INFO-CL-ID PIC 9(09).
ARMSEC 15 ARMS-RECOUP-INFO-SSN PIC X(09).
ARMSEC
ARMSEC 05 ARMS-RECOUP-SUMRY-REC REDEFINES ARMS-RECOUP-TRANSACTION.
ARMSEC 10 ARMS-RECOUP-SUM-REC-TYPE-CD PIC X(01).
ARMSEC 10 ARMS-RECOUP-SUM-PROCES-DT PIC X(08).
ARMSEC 10 ARMS-RECOUP-SUM-TOT-CANCEL-AMT PIC S9(09)V99.
ARMSEC 10 ARMS-RECOUP-SUM-TOT-RECOUP-AMT PIC S9(09)V99.
ARMSEC 10 ARMS-RECOUP-SUM-PROCES-REC-CNT PIC 9(07).
ARMSEC 10 FILLER PIC X(230).

```

## 25.6. DI-06 – Monthly Recoupment Delete Requests to ACES

### 25.6.1. Summary Info

<b>System</b>	ACES
<b>Ext. Filename</b>	DSHS300.PROD.DMJ4350A.N43500
<b>Int. Filename</b>	SCRS*REC-CHG-REQ
<b>In/Out</b>	Out
<b>Periodicity</b>	Monthly
<b>Trigger</b>	Mainframe job SCRSR0
<b>Description</b>	Data to ACES for ACES to produce Delete-Deduction (stop) requests.

### 25.6.2. Processing Description & Rules

#### 25.6.2.1. General Notes

A typical reason for a deduction delete request would primarily be that the Client's benefit certification period ended at the end of the prior month, and the Client did not reactivate timely. It is possible for a Client to reactivate retroactively right up to the end of this month. A copy of this file (renamed REC-CHG-OFR) is also used as input to SCRSR2.

#### 25.6.2.2. “As-Is” System

Existing selection criteria likely depends on Obligation Status Codes, some of which sometimes have meaning in this context. For example, “818 - Deduction Delete Request” is used to trigger a delete request.

#### 25.6.2.3. “To-Be” System

Obligation Status Codes have been retired. Deduction Delete Requests are treated as Work Items in a Queue belonging, in this case, to the System. The new feed shall recognize these items and submit the appropriate request.

#### 25.6.2.4. Developer Notes

SCRSR0's CRSB011R

*This program extracts data for producing Delete-Deduction Requests to ACES. The reason would primarily be that the Client's benefit certification period ended at the end of the prior month, and the Client did not reactivate timely. It is possible for a Client to reactivate retroactively right up to the end of this month. However, **we aren't allowed to keep on recouping if the owner(s) of the target Ob aren't active**, and it's best if we send the Delete request to ACES before they run Monthly Issuance. We are trying to compromise between always sending a Delete which sets up a vicious circle of Delete-Add (when the Client retroactively reactivates)-Delete-Add, and not sending a Delete at all, which might mean inappropriate recoups being taken if the AU composition or characteristics change when it is reactivated after a closed period.*

ACES will not delete a "Recovery Plan Segment" without a request generated by CRS.

*Inputs -- CRS database -- Recoupment, CFS Last, Client,  
Client-Ob, Obligation, Posted Transaction,  
Transaction, System Parameters records*

*Outputs -- CRS database -- Recoupment and System Parameters records*

*CRS-to-ACES -- File of AUs which need to have recoupments terminated*

*Error report-- error msgs put out by CRS batch programs. It is opened extend.*

*A copy of this file (renamed REC-CHG-OFR) is also used as input to SCRSR2.*

### 25.6.3. File Layout

#### REC-CHG-REQ

File sent to ACES to start and stop deductions from the jobs

```
@ASG,A          *REC-CHG-REQ.          . recoupment recovery plan
@USE   CRSTOACES.,*REC-CHG-REQ.      . going to ACES
```

```
*** The record type code= 'A'(add), 'C'(change), 'D'(delete),
***                          'R'(rejection), or 'S'(summary).
```

```
01  WS-CRS-TO-ACES-RECOUP.
    05  CRS-TO-ACES-REC-TYPE-CD          PIC X(01).
    05  CRS-TO-ACES-RECOUP-AU-ID        PIC X(09).
    05  CRS-TO-ACES-RECOUP-CODE.
        10  CRS-TO-ACES-RECOUP-CODE-OLD  PIC X(02).
        10  CRS-TO-ACES-RECOUP-CODE-NEW  PIC X(02).
    05  CRS-TO-ACES-VOL-RECOUP-AMT      PIC S9(06)V99.
    05  CRS-TO-ACES-OBLIG-ID            PIC X(13).
    05  CRS-TO-ACES-OBLIG-AMT           PIC S9(06)V99.
    05  CRS-TO-ACES-ORIG-OP-LTR-DT      PIC X(08).
    05  CRS-TO-ACES-CL-ID                PIC X(09).
    05  CRS-TO-ACES-ERROR-INDICATOR     PIC X(02).
    05  CRS-TO-ACES-FULL-CSO.
        10  FILLER                        PIC X(01).
        10  CRS-TO-ACES-CSO                PIC X(02).
    05  CRS-TO-ACES-GRANT-NAME           PIC X(25).
    05  CRS-TO-ACES-RESP-PARTY           PIC X(25).
    05  CRS-TO-ACES-CLI-SSN              PIC X(09).
    05  FILLER                            PIC X(08).

01  WS-CRS-TO-ACES-SUMMARY REDEFINES WS-CRS-TO-ACES-RECOUP.
    05  CRS-TO-ACES-SUMRY-REC-TYPE-CD    PIC X(01).
    05  CRS-TO-ACES-SUMRY-PRCS-DT        PIC X(08).
    05  CRS-TO-ACES-SUMRY-TTL-REC-CNT    PIC 9(07).
    05  CRS-TO-ACES-SUMRY-ADD-CNT        PIC 9(07).
    05  CRS-TO-ACES-SUMRY-CHNG-CNT       PIC 9(07).
    05  CRS-TO-ACES-SUMRY-DEL-CNT        PIC 9(07).
    05  FILLER                            PIC X(95).
```

## 25.7. DI-07 – Monthly ACES Client Update

### 25.7.1. Summary Info

<b>System</b>	ACES
<b>Ext. Filename</b>	DSHS300.PROD.DMJ4362A.P43620
<b>Int. Filename</b>	SCRS*CLI-UPDATES
<b>In/Out</b>	In
<b>Periodicity</b>	Monthly
<b>Trigger</b>	SCRSR1
<b>Description</b>	Client updates & 'deletes' (stopped deductions) from ACES

### 25.7.2. Processing Description & Rules

#### 25.7.2.1. General Notes

CRS has two basic requirements that are supposed to be satisfied by this feed:

1. To be able to recognize, systematically, whether a person is on or off assistance
2. If they are off assistance, as of what date.

#### 25.7.2.2. “As-Is” System

Research on the behavior of this feed has revealed some issues with how it is working that are preventing these basic requirements from being met:

4. The date being sent in the CL-AU-STS-DT field is technically not the date RAs should be using to calculate 91 days for eligibility to collect. ACES stores another date it calls the “Paid Through Date” which, for Clients who have become ineligible to receive further assistance, would be the correct date to base the 90 day calculation on. This Paid Through Date is not currently in the Client Update feed and needs to be added.
5. At the time of writing, ACES has recently revised the behavior of the Client Update feed to exclude Medical records if there are any Active PA or FS records, and if there are no Active PA or FS records, to only send Medical records. This change breaks CRS’ use of the feed to determine when a Client goes off assistance. Either a new feed needs to be developed for the purpose, or this feed needs to be fixed to support CRS’ needs.

#### 25.7.2.3. “To-Be” System

1. Business System Requirements and Business Data Definition expect the receipt of a record in the ACES Client Update feed for a given Client to create a new “Client Assistance History” record, which captures a snapshot of the information that was sent, so that a portrait of the Client’s assistance history can emerge over time. Information

received in one month must not overwrite the assistance information received for the same client in any prior month.

2. New logic will be required to determine when/whether to create new Client-Address records, or overwrite existing. Addresses received from ACES shall not override addresses with Address Source = "TOP" "User Input".
3. Activating & deactivating Recoupments is currently manual accounting function. The CRS Replacement system should automate this processing as follows:
  - a. Client back on assistance, auto-trigger recoupment
  - b. Auto set % depending on type of debt (court-ordered fraud = n%, etc.)
  - c. If they go off assistance, auto-disable recoupment

*Note: This processing will require ACES to update its Client Update feed to provide reliable information to recognize the following events and take the appropriate action. The rules will also need to be expanded.*

#### 25.7.2.4. Developer Notes

Deletes are referring to the action of 'deleting' a deduction at ACES which means to STOP taking deductions.

#### 25.7.3. File Layout

##### ACES Client Update

```

FD  ACES-EXT-FILE
    LABEL RECORDS ARE STANDARD.

01  ACES-EXTRACT-REC.
001009    05  P43-CL-ID-NUM                PIC X(09) .
010028    05  P43-CL-LAST-NAME            PIC X(19) .
029029    05  P43-CL-MID-INIT             PIC X(01) .
030041    05  P43-CL-FIRST-NAME          PIC X(12) .
042044    05  P43-CL-RACE-CD              PIC X(03) .
045046    05  P43-CL-PRIM-LANG-CD        PIC X(02) .
047054    05  P43-CL-DOB-DT              PIC X(08) .
055056    05  P43-CL-LIV-ARNGMT-TYPE-CD  PIC X(02) .
057065    05  P43-CL-SSN-NUM             PIC X(09) .
066066    05  P43-CL-AU-STS-CD           PIC X(01) .
067074    05  P43-CL-AU-STS-DT           PIC X(08) .
075076    05  P43-CL-AU-FIN-RESP-CD      PIC X(02) .
077078    05  P43-CL-AU-HOH-REL-CD       PIC X(02) .
          05  P43-AU-HOH-ADDR.
051013    10  P43-AU-HOH-FREEFORM         PIC X(40) .
051013    10  P43-AU-HOH-STRT-1-ADDR     PIC X(64) .
051013    10  P43-AU-HOH-STRT-2-ADDR     PIC X(64) .
051013    10  P43-AU-HOH-CTY-ADDR        PIC X(28) .
275276    10  P43-AU-HOH-ST-CD           PIC X(02) .
  
```

277285	10	P43-AU-HOH-ZIP-ADDR	PIC X(09).
286294	05	P43-AU-NUM	PIC X(09).
295296	05	P43-AU-PROG-CD	PIC X(02).
297299	05	P43-AU-CURR-CSO	PIC 9(03).
300300	05	P43-AU-PROG-TYPE-CD	PIC X(01).
301303	05	P43-AU-MA-CVRG-GRP-CD	PIC X(03).
304304	05	P43-AU-STS-CD	PIC X(01).
305312	05	P43-AU-STS-DT	PIC X(08).
313322	05	P43-AU-TEL-NUM	PIC X(10).
323324	05	P43-ERR-IND	PIC X(02).
325333	05	P43-INVAL-CL-ID-NUM	PIC X(09).
334342	05	P43-REQ-SSN-NUM	PIC X(09).

## 25.8. DI-08 – CRS Monthly ACES Report

### 25.8.1. Summary Info

<b>System</b>	ACES
<b>Ext. Filename</b>	
<b>Int. Filename</b>	
<b>In/Out</b>	Out
<b>Periodicity</b>	Monthly (manually triggered)
<b>Trigger</b>	Ron Smith
<b>Description</b>	Transaction detail file to show all individuals who should get credit for a given payment. Receipt of payment toward TANF debt affects their eligibility for federal benefits (turns back the clock 1 month).

### 25.8.2. Processing Description & Rules

#### 25.8.2.1. General Notes

Transaction detail file to show all individuals who should get credit for a given payment. Receipt of payment toward TANF debt affects their eligibility for federal benefits (turns back the clock 1 month).

#### 25.8.2.2. “As-Is” System

This feed is generated and sent manually by Ron Smith.

#### 25.8.2.3. “To-Be” System

The to-be system must generate this feed.

#### 25.8.2.4. Developer Notes

Not available

### 25.8.3. File Layout

Not available

## 25.9. DI-09 – SSPS Account Code History Load

### 25.9.1. Summary Info

<b>System</b>	SSPS
<b>Ext. Filename</b>	
<b>Int. Filename</b>	
<b>In/Out</b>	In
<b>Periodicity</b>	Daily
<b>Trigger</b>	Mainframe job SCRSL6
<b>Description</b>	Account Code History Table Load from SSPS. Used to display the 390 screen with obligations displayed in the correct priority order.

### 25.9.2. Processing Description & Rules

#### 25.9.2.1. General Notes

-

#### 25.9.2.2. “As-Is” System

- This is a straight import from the file into the database.
- The import is cumulative, with no validation on records that might, based on the derivation/lookup rules used to display Obligations in priority sequence, constitute a duplicate.

#### 25.9.2.3. “To-Be” System

Must persist.

#### 25.9.2.4. Developer Notes

Loads current SSPS codes to CRS database accessed by tip program CR390 coded as SVCCOD-SERVICE-CODE

### 25.9.3. File Layout

SCRSL1

```

01 HIST-REC.
   05 ROW-ID                PIC 9(6) .
   05 SERVICE-CODE          PIC X(5) .
   05 REASON-CODE           PIC X(2) .
   05 SOURCE-OF-FUNDS      PIC X(1) .
   05 EFF-BGN-DATE         PIC X(8) .
   05 EFF-END-DATE         PIC X(8) .
   05 FUND                  PIC X(3) .

```

05 APPN  
05 PROGIDX  
05 SO  
05 SSO  
05 ALLOC

PIC X(3) .  
PIC X(5) .  
PIC X(2) .  
PIC X(4) .  
PIC X(4) .

## 25.10. DI-10 – Quarterly SSPS ES Match

### 25.10.1. Summary Info

<b>System</b>	Employment Security (ES)
<b>Ext. Filename</b>	
<b>Int. Filename</b>	SSEE*SPSEOM032F01
<b>In/Out</b>	In
<b>Periodicity</b>	Quarterly
<b>Trigger</b>	Mainframe job SCRSQ1
<b>Description</b>	<p>This job processes a file provided by Support Enforcement through Employment Security of all claimant on unemployment. This program selects claimant, benefit and payment information.</p> <p><i>Note: Feed/job may sometimes be referred to as the “SSPS ES Match”. At one time SCRSQ1 generated a report for SSPS, but it has been removed.</i></p>

### 25.10.2. Processing Description & Rules

#### 25.10.2.1. General Notes

This interface is important, even more so in the CRS replacement system. In the “as-is” system, it has stopped functioning leaving a gap filled by a manual reporting process (see DI-29).

#### 25.10.2.2. “As-Is” System

The Quarterly ES Match process uses Quarterly employment information from the state Employment Security office to identify individuals whose employment status has changed. Employment status has significant bearing on a Client’s ability to repay an Obligation.

The inbound file contains a record for every SSN in the state receiving a paycheck in the specified quarter. The basic processing logic is:

1. Locate matching Client records using SSN
2. Update Client ES Match indicator & date
3. Output matches to reports

#### Additional notes:

1. CRS and the DCS SEMS Child Support Case Management system share the Employment Security feed, and that CRS relies on SEMS to complete some pre-processing to generate its inbound file (to add Employer #s to the wages file).

The following is a detailed description of the chain of events:

Monthly on calendar day 2 at 1800 ES runs a process named J7400300 on the IBM that extracts the wage data. Upon completion of the job, two files are transferred to the DCS FTP server, the current quarter wages (ES02P540\_CURQTR\_F10DSHS.txt) and the prior quarter wages (ES02P540\_PREQTR\_F10DSHS.txt).

SEMS uses these files to populate an SQL database that supports the “SD” screen in SEMS and then both files are sent up to the Unisys for processing against the mainframe database.

That is just gets the wages. To be able to link to who paid the wages we get a quarterly file of active and inactive employers. These are tied to the wages with an ES issued employer number. This file is currently shared with OFR and used by a CRS process, SCRSQ1.

### **25.10.2.3. “To-Be” System**

1. The Employment Security match functionality in the “To-Be” system will create and store match records when matches are found, providing a historical record of the Client’s employment history.

See also the “Business Data Definition” for additional notes and details on what information must be tracked for a given match.

2. The current file layout doesn’t include employer address information, which is a requirement for the new system. The source file needs to be updated to include this information. This would need to be a change made by SEMS, who generates the file below from a combination of the ES Match file from Employment Security, and the quarterly list of Active/Inactive Employers. (Note: Identify this as a new feed – Quarterly List of Active/Inactive Employers – from SEMS.)
3. A separate, manual process to generate a report for end-users was added as a workaround due to usability issues with the report & data generated by SCRSQ1. The CRS Replacement system should satisfy both needs – the database updates to indicate match/no-match, and the reporting & event notification requirements satisfied by the external, manual process.

### **25.10.2.4. Developer Notes**

*This job processes a file provided by Support Enforcement through Employment Security of all claimant on unemployment. This program selects claimant, benefit and payment information.*

### **25.10.3. File Layout**

01 ES-UC-MASTER-REC.

```

05 ES-UC-SSN PIC 9(9) .
05 ES-UC-REC-TYPE PIC 9.
05 ES-UC-RECORD PIC X(190) .
*****
* WS-UC-MASTER RECORD *
*****
01 WS-UC-MASTER.
05 WS-UC-SSN PIC 9(9) .
05 WS-UC-REC-TYPE PIC 9.
05 WS-UC-RECORD PIC X(190) .

*****
* CLAIMANT RECORD *
*****
05 UCR-CLAIMANT-RECORD REDEFINES WS-UC-RECORD.
10 UCR-CLAIMANT-NAME.
15 UCR-CLAIMANT-LNAME PIC X(15) .
15 UCR-CLAIMANT-FNAME PIC X(10) .
15 UCR-CLAIMANT-MI PIC X(01) .
10 UCR-CLAIMANT-ADDR PIC X(65) .
10 UCR-ZIP PIC 9(9) .
10 UCR-DOB PIC X(8) .
10 UCR-SEX PIC X.
10 UCR-ETHNIC PIC X.
10 UCR-EDUC PIC XX.
10 UCR-HANDICAP PIC X.
10 UCR-CITIZEN PIC X.
10 UCR-PERMIT-NO PIC X(10) .
10 UCR-ALIEN-CLEAR-DATE PIC 9(8) .
10 UCR-OSW PIC X.
10 UCR-VET PIC X.
10 UCR-OSE-IND PIC X.
10 UCR-BANKRUPTCY-CHAPTER PIC X(2) .
10 UCR-GARNISHMENT-DATE PIC 9(8) .
10 UCR-MILITARY-DISCHARGE-DATE PIC 9(8) .
10 UCR-PROSECUTION-REQUEST-DATE PIC 9(8) .
10 UCR-PROBATE-LTR PIC X(7) .
10 UCR-UNION-REFERRAL-CODE PIC X.
10 UCR-UNION-STANDBY PIC X.
10 UCR-WKSRCH1 PIC X.
10 UCR-WKSRC1-ST-DATE PIC 9(8) .
10 UCR-WKSRC1-END-DATE PIC 9(8) .
10 UCR-FILLER PIC X(3) .

*****
* BENEFIT-RECORD *
*****
05 UCB-BENEFIT-REC REDEFINES WS-UC-RECORD.
10 UCB-EFFECTIVE-DATE PIC 9(8) .
10 UCB-END-DATE PIC 9(8) .
10 UCB-NEW-BENEF-AMT PIC 9(5)V99.
10 UCB-BASE-PERIOD-EMPLOYER PIC 9(8) .
10 UCB-EMPR-SIC PIC 9(4) .
10 UCB-EMPR-OWNSHP PIC 9(2) .
10 UCB-BPE-SEP-DATE-1 PIC 9(8) .
10 UCB-BPE-SEP-DATE-2 PIC 9(8) .

```

```

10 UCB-BPE-SEP-DATE-3          PIC 9(8) .
10 UCB-BPE-SEP-DATE-4          PIC 9(8) .
10 UCB-BPE-SEP-DATE-5          PIC 9(8) .
10 UCB-EMPR-NAME                PIC X(24) .
10 UCB-FILLER                   PIC X(89) .
*****
*   PAYMENT-RECORD             *
*****
05  UCP-PAYMENT-REC REDEFINES WS-UC-RECORD.
10  UCP-PAYMENT-TYPE            PIC X .
10  UCP-BENEF-WK-ENDING         PIC 9(8) .
10  UCP-PAY-LOCATION              PIC 9(3) .
10  UCP-ENTITLEMENT             PIC X(2) .
10  UCP-WEEKLY-BENEF-AMT        PIC 9(3)V99 .
201111  UCP-WARRANT-NBR         PIC 9(10) .
10  UCP-ISSUE-DATE              PIC 9(8) .
10  UCP-CHECK-AMOUNT            PIC 9(5) .
10  UCP-PAYMENT                 PIC 9(5) .
10  UCP-EARNINGS                 PIC 9(5)V99 .
10  UCP-PENSION                 PIC 9(5)V99 .
10  UCP-OFFSETS                 PIC 9(3)V99 .
10  UCP-OSE                     PIC 9(5) .
10  UCP-BANKRUPTCY              PIC 9(3)V99 .
10  UCP-FILLER                  PIC X(114) .

*****
*   EARNINGS-RECORD           *
*****
05  UCE-EARNINGS-REC REDEFINES WS-UC-RECORD.
10  UCE-EFFECTIVE-DATE          PIC 9(8) .
10  UCE-BENEFIT-WEEK-ENDING     PIC 9(8) .
10  UCE-EARNINGS-AMT            PIC 9(5)V99 .
10  UCE-EARNINGS-EMPLOYER       PIC 9(8) .
10  UCE-EMPLOYER-NAME           PIC X(24) .
10  UCE-FILLER                  PIC X(135) .

```

## 25.11. DI-11 – TOP Pre-Offset Address Request

### 25.11.1. Summary Info

<b>System</b>	FNS TOP
<b>Ext. Filename</b>	
<b>Int. Filename</b>	
<b>In/Out</b>	Out
<b>Periodicity</b>	Monthly
<b>Trigger</b>	Mainframe Job STOPM1
<b>Description</b>	Sends address request to feds in preparation for federal certification process.

### 25.11.2. Processing Description & Rules

#### 25.11.2.1. General Notes

Sends address request to feds in preparation for federal certification process. See Business System Requirements document for detailed treatment of TOP Certification and how this feed fits.

#### 25.11.2.2. “As-Is” System

See “Address Request to TOP” (Page 3) in Appendix C.

Files are currently transmitted manually to/from FNS TOP by SFTP using "Tumbleweed".

#### 25.11.2.3. “To-Be” System

See “Address Request to TOP” (Page 3) in Appendix C.

New requirement: Automate transmittal of TOP feeds to FNS TOP by SFTP

#### 25.11.2.4. Developer Notes

### 25.11.3. File Layout

*Note: The following layout definition is copied directly from the “TOP Formats 901 Joint Several v3 2.doc” document referenced in Appendix B. This interface is federally defined and not subject to revision by OFR.*

## 25.12. DI-12 – TOP Match/No-Match

### 25.12.1. Summary Info

<b>System</b>	FNS TOP
<b>Ext. Filename</b>	
<b>Int. Filename</b>	
<b>In/Out</b>	In
<b>Periodicity</b>	Monthly
<b>Trigger</b>	Mainframe Job STOPM2
<b>Description</b>	Federal matches from the Pre-Offset Address Request. Triggers 60 day notification process.

### 25.12.2. Processing Description & Rules

#### 25.12.2.1. General Notes

Notification back from Feds as to whether a matching person was found in response to DI-11, for federal certification process. See Business System Requirements document for detailed treatment of TOP Certification and how this feed fits.

#### 25.12.2.2. “As-Is” System

1. Receive fed file that is response to address file sent to feds in STOPM1.
2. Sets TOP indicator codes to 'M' for matches.
3. Store FTROP-CLIENT for matches.
4. Generate and print 60-day notices.
5. Sets 60-day-ltr-date

*For further details, see Appendix C.*

#### 25.12.2.3. “To-Be” System

*For further details, see Appendix C.*

#### 25.12.2.4. Developer Notes

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### 25.12.3. File Layout

*Note: The following layout definition is copied directly from the “TOP Formats 901 Joint Several v3 2.doc” document referenced in Appendix B. This interface is federally defined and not subject to revision by OFR.*

**TOP Missing Address File Record Layout:** Processed upon Initial Debt Load, Agency or TOP request. This file will be sent out as a Flat File – ASCII format.

Field	Format	Start	End	Notes
Agency ID	CHAR(8)	1	8	Must be same value throughout the file; LJ SF AN
Agency Site ID	CHAR(8)	9	16	Can have multiple sites within one file (all for a single Agency); LJ SF AN
Debt Number	CHAR(18)	17	34	Debt ID number within Creditor Agency; LJ SF AN
Debtor Tax ID Number	CHAR(9)	35	43	SSN or EIN; N
Local Contact Code	CHAR(3)	44	46	Leave blank if none exist; otherwise; LJ SF AN
Debtor Last Name	CHAR(35)	47	81	LJ SF AN
Debtor First Name	CHAR(35)	82	116	<i>Optional</i> ; LJ SF AN
Debtor Middle Initial	CHAR(1)	117	117	<i>Optional</i> ; LJ SF AN
Filler	CHAR(33)	118	150	Leave blank; SF

## 25.13. DI-13 – TOP Collection / Reversal Posting

### 25.13.1. Summary Info

<b>System</b>	FNS TOP
<b>Ext. Filename</b>	
<b>Int. Filename</b>	
<b>In/Out</b>	In
<b>Periodicity</b>	Weekly
<b>Trigger</b>	Mainframe Job STOPB1
<b>Description</b>	Payments made to FNS, recorded as transactions to update obligation balance.

### 25.13.2. Processing Description & Rules

#### 25.13.2.1. General Notes

Payments made to FNS, recorded as transactions to update obligation balance. See Business System Requirements document for detailed treatment of TOP Certification and how this feed fits.

NOTE: TOP Transactions do not receive AFRS coding on import from TOP – the originating program is known by virtue of their being federally certified obligations.

#### 25.13.2.2. “As-Is” System

For further details, see Appendix C.

#### 25.13.2.3. “To-Be” System

For further details, see Appendix C.

#### 25.13.2.4. Developer Notes

### 25.13.3. File Layout

Note: The following layout definition is copied directly from the “TOP Formats 901 Joint Several v3 2.doc” document referenced in Appendix B. This interface is federally defined and not subject to revision by OFR.

#### TOP Weekly Collection (Offset/Reversal) Record Layout

Record Position	Field Title	Length	Description and Remarks
1	Type Indicator	1	PRESENT. A code will be inserted from below.
			0 Reversal resulting from a claim filed by an injured spouse for a share of an offset or Reversal to correct processing error.
			1 Offset against the obligation amount.
2-3	Agency ID (Agency Code)	2	PRESENT. Code assigned to agency by TOP.

Record Position	Field Title	Length	Description and Remarks
4-5	Site ID (Sub agency Code)	2	PRESENT. Code assigned as agreed by agency and TOP.
6-15	TIN	10	PRESENT. Enter the debtor's SSN for individual or EIN for business. Right justify and first numeric must be zero.
16-27	Amount	12	PRESENT. The amount of offset or Reversal (depending upon Type Indicator). The amount will be dollars and cents. No dollar signs, commas, decimal points or negative amounts. The amount is right justified and unused positions will be zero-filled. If type indicator is '0', the amount will be for a Reversal. If Type Indicator is '1', the amount will be for an offset. NOTE: THIS AMOUNT IS THE FULL OFFSET AMOUNT FOR TYPE 1 RECORD. THE OFFSET FEE WILL BE TAKEN OUT AT FUNDS TRANSFER TIME.
28-31	Year of Original Offset	4	PRESENT. Contains the year in which the offset occurred that is now being reversed. This field is applicable if the Type Indicator field contains a "0", otherwise, it will be filled with zeroes.
32	Individual or Business Debtor	1	PRESENT. Individual is 1 and Business is 2.
*33	Reversal Indicator	1	PRESENT. Contains 'F' for a Full Reversal or "P" for a Partial Reversal. Blank filled for a type 1 offset record <b>and Pre-TOP Reversal records</b>
<b>For Individual records only:</b>			
34-53	Last Name	20	PRESENT. Contains the debtor's last name as submitted by agency. Left justified and filled with blanks.
54-68	First Name	15	PRESENT. Contains the debtor's first name as submitted by agency. Left justified and filled with blanks.
<b>For Business records only:</b>			
34-68	Business Name Line	35	PRESENT. Contains the Business debtor's name line as submitted by the agency. Left justified and filled with blanks.
<b>For All records:</b>			
69-86	Debt Number (Agency Case Number)	18	PRESENT. Contains the debtor's debt number as submitted by the agency. Use is mandatory on input records and will be returned in this field.
<b>For Individual records only, otherwise blank-filled:</b>			
87	Payment Status (Blank filled for Reversal record)	1	PRESENT. A code will be inserted from below. <b>0</b> Other than joint payee   <b>2</b> joint payee
<b>For All records:</b>			
88-122	Name (Blank filled for Reversal record)	35	PRESENT. For Type 1 offset records, contains the name of debtor as it appears on the file. Blank for Type 0 Reversal records.
*123-157	<b>Address Line 1</b> (Blank filled for Reversal record)	35	PRESENT. For Type 1 offset records, <b>normally</b> contains current mailing <b>street</b> address of debtor, <b>though may contain other address information</b> . Left justified and blank-filled. Street address field may be blank. Blank for Type 0 records.
*158-182	<b>Address Line 2</b> (Blank filled for Reversal record)	25	PRESENT. For Type 1 offset records, <b>normally</b> contains debtor's city and state of residence, <b>though may contain other address information</b> . Left justified and blank-filled. Blank for Type 0 records.
183-191	Zip Code (Blank filled for Reversal record)	9	PRESENT. For Type 1 offset records, contains the debtor's zip code. Blank for Type 0 records.
192-194	Country Code (Blank filled for Reversal record)	3	PRESENT. For Type 1 offset records, contains code from attached list. Blank for Type 0 records. If none provided, blank-filled.
195-198	TOP Name Control (Blank filled for Reversal record)	4	PRESENT. The first 4 significant characters of the debtor's last name for individuals or business name for businesses. Name Controls of fewer than four characters must be left-justified filling the unused positions with blanks.
199-204	Offset Cycle	6	PRESENT. Format is YYYYCC.
205-212	Effective Date Of Offset/Reversal	8	PRESENT. Format is YYYYMMDD.

Record Position	Field Title	Length	Description and Remarks
213-216	Year of Offset	4	PRESENT. Format is YYYY.
*217-226	TOP Trace Number	10	Unique TOP Identifier assigned to offsets taken. Currently 9 digits. <b>Blank filled for Pre-TOP Reversal records.</b> LJ SF
227-232	Payment Type (OCSE and SADO Payment Types NS & NX only)	6	Unique TOP code identifying purpose/record layout of the offset payment, if applicable.
*233-236	Agency Name Control	4	Unique Name Control provided by agency. If none provided, blank-filled. <b>Blank filled for Pre-TOP Reversal records.</b>
*237-241	Total Fee Amount	5	Represents total fee amount applied to the offset. Full Reversal records will include a fee amount. Most partial records will be zero-filled. If the partial reversal is for the remainder of the offset/levy, which creates a full reversal, the total fee amount will be included. The amount will be entered in dollars and cents (no dollar signs, commas, decimal points or negative amounts). Fee will be right justified and zero-filled. <b>Blank filled for Pre-TOP Reversal records.</b>
242	Injured Spouse Indicator	1	Field will contain a Y = Injured Spouse Refund or a Blank (For Child Support Use Only)
243-248	Filler	6	PRESENT. Blank-filled.
249-250	Agency ID (Agency Code)	2	PRESENT. As assigned by TOP

## 25.14. DI-14 – Weekly CRS Collections to TOP

### 25.14.1. Summary Info

<b>System</b>	FNS TOP
<b>Ext. Filename</b>	
<b>Int. Filename</b>	
<b>In/Out</b>	Out
<b>Periodicity</b>	Weekly
<b>Trigger</b>	Mainframe Job STOPW2
<b>Description</b>	Weekly FTROP extract to feds - reflects payments made to state. Important feed.

### 25.14.2. Processing Description & Rules

#### 25.14.2.1. General Notes

See Business System Requirements document for detailed treatment of TOP Certification and how this feed fits.

#### 25.14.2.2. “As-Is” System

See “Weekly TOP File” (page 6) in Appendix C.

#### 25.14.2.3. “To-Be” System

See “Weekly TOP File” (page 6) in Appendix C.

#### 25.14.2.4. Developer Notes

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### 25.14.3. File Layout

*Note: The following layout definition is copied directly from the “TOP Formats 901 Joint Several v3 2.doc” document referenced in Appendix B. This interface is federally defined and not subject to revision by OFR.*

#### Record Type 1: Debtor Name, Debtor TIN, Debt Number

Key: RJ=right justified, LJ=left justified, SF=space filled, ZF=zero filled, AN=alphanumeric, A=alpha, N=numeric

Field	Format	Start	End	Reset <sup>1</sup>	Error Codes	Notes
Agency ID	CHAR (8)	1	8		01 45	Must be same value throughout the file; LJ SF AN
Agency Site ID	CHAR (8)	9	16		02 46	Can have multiple sites within one file (all for a single Agency); LJ SF AN
Debt Number <sup>2</sup>	CHAR (18)	17	34		03	Debt ID number within a Creditor Agency; LJ SF AN
Action <sup>3</sup>	CHAR (1)	35	35		23	A=Add, U=Update, C=Change, S=Adjustment to decrease debt balance, I=Adjustment to increase debt balance; V=Add Joint Record, Y=recertify debt balance and activate debt for current year offset or special refund/ Reversal codes listed below; <sup>3</sup> AN

Record Type	CHAR (1)	36	36		23 D 43	1=type 1; N
Debtor Tax ID Number	CHAR (9)	37	45		05 27	Cannot equal zeros; N. Error Code 27 for actions I, S, Y, U, Ø, 1, G, R.
Debtor Last Name	CHAR (35)	46	80		A 10 U 30	LJ SF AN
Debtor First Name	CHAR (35)	81	115	X	N/A	Optional; LJ SF AN
Debtor Middle Initial	CHAR (1)	116	116	X	N/A	Optional; A
*Date Delinquency Began	DATE(8)	117	124		A,U 08,44, 51, 65, 90 U 28, 59	YYYYMMDD date is edit checked for validity; N
Local Contact Code	CHAR (3)	125	127		A, U 85	Leave blank if none exists, default='000'; LJ SF AN
Name Control assigned by TOP	CHAR (4)	128	131		N/A	System generated; leave blank; SF
Debt/Debtor Status Indicator	CHAR (2)	132	133	X	A,U 34	Ignored on Add C=closed, I=Inactive, Z=Archive !=resets debt to active; LJ SF AN
Debt Joint & Several Indicator	CHAR (1)	134	134		U 1G, 1H	(Optional) J=Joint, !=reset to non-joint, Blank=Keep old value.
Initial Delinquent Debt Amount (for Action 'A' only) <sup>4</sup>					A, I, S, Y 06	
Delinquent Debt Adjustment Amount (for Action 'S' or 'I' or 'Y') <sup>4</sup>	NUM (12,2)	135	146		I,S 48 S 67	For Action 'A', must be greater than \$24.99 (2499) <sup>4</sup> For Action 'I', will increase debt balance. For Action 'S', will decrease debt balance. For Action 'Y' the debt balance will be replaced <sup>4</sup> For other codes see notes below, <sup>3</sup> RJ ZF N
or enter Adjustment Amount for other action codes listed below for refunds/Reversals <sup>3</sup>					Ø,1 71 Ø,1 72 G, R 73, 74	
Debt Type <sup>5</sup>	CHAR (2)	147	148		A,U 04 U 26	Must be a valid Debt Type as identified by DMS; LJ SF AN
Individual/Business	CHAR (1)	149	149		A,U 09 U 29	I=Individual, B=Business, J=Joint Business, K=Joint Individual; A
Judgment Debt	CHAR (1)	150	150		A,U 07	J=judgment or blank; A or SF
TOP Trace Number May be defined as: 1) T+9 digit trace # 2) D+8 digit date or 3) Y+4 digit year	CHAR (10)	151	160		Ø,1 71 Ø,1 72 G,R 73, 74 88	TOP Trace Number used only with refunds and Reversals. Requires action code in position 35; <sup>3</sup> LJ, AN  Error Code 88 for actions Ø, 1, G, R.
Agency Name Control	CHAR (4)	161	164		U 41	(Optional) Agency supplied Name Control. If applicable will be returned on the Collections File; LJ SF AN
New Agency Site ID	CHAR(8)	165	172		C	(Optional) Only use if changing an agency site id. LJ SF AN
New Agency Debt Number	CHAR(18)	173	190		C	(Optional) Only use if changing an Agency Debt Number. LJ SF AN
New Debtor Tin	CHAR(9)	191	199		C	(Optional) Only use if changing a debtor tin.
Last Name Update Reason	CHAR (1)	200	200		C	(Optional) To be use with action code C only. B=Change Only, C=Change and create an alias row;

**Note:** If no letter(s) appear before the error code, then all action codes could cause this error code, otherwise the action code(s) is listed in front of the error code (ie A10, U30).

Error Codes 50, 52, and 58, apply to an entire record not processing and do not map to a specific field on the record layouts.

### Notes

- 1 Reset column: Data fields marked with an 'X' in the Reset column of the record layout can be reset to blank using an '!' in this field position.
- 2 Debt numbers assigned by an agency must be unique within a site ID.
- 1 To adjust the amount of the debt to reflect an *agency refund* or *agency refund Reversal* on a weekly update file in the TOP format, agencies will use the following special action codes:

Code	Agency Refund Year
1	2001 and beyond
∅	2000
9	1999
8	1998
7	1997
6	1996
5	1995
4	1994
3	1993

Code	Agency Refund Reversal Year
R	2001 and beyond
G	2000
H	1999
J	1998
K	1997
L	1996
M	1995
N	1994
O	1993

TOP will automatically inactivate a debt only for a current year refund.

- 1 Field 135-146 in Record Type 1 serves three purposes:
  - 1) When *adding a debt*, this field is to be used when adding a new debtor record to NID3 to enter the amount of the delinquent debt when it is initially referred to TOP. Once added, the initial delinquent amount will be stored in the NID3 and will not change.
  - 2) 2) When *adjusting the amount of a debt*, this field is to be used to make an adjustment to the delinquent debt amount, either:
    - to increase (I) the debt balance or*
    - to decrease (S) the debt balance or*
 by the adjusting amount. The current balance will then be recalculated by TOP or
  - 1) When *recertifying (Y) the debt balance* which will replace the debt balance with the new debt balance. For all three purposes, these actions will be reflected in the current balance field for that record on the TOP Client's user screen.
- 1 Field 147-148 must contain a debt type approved by TOP and must be consistent with the debt types for that agency as specified in the agency's TOP Creditor Agency Profile and stored in the NID3.

## Record Type 2: Debtor Address

Key: RJ=right justified, LJ=left justified, SF=space filled, ZF=zero filled, AN=alphanumeric, A=alpha, N=numeric

Field	Format	Start	End	Reset <sup>1</sup>	Error Codes	Notes
Agency ID	CHAR(8)	1	8		01 45 1D	Must be same value throughout the file; LJ SF AN
Agency Site ID	CHAR(8)	9	16		02 46 1D	Can have multiple sites within one file (all for a single Agency); LJ SF AN
Debt Number <sup>2</sup>	CHAR(18)	17	34		03 1D	Debt ID number within Creditor Agency; LJ SF AN
Action	CHAR(1)	35	35		23	A=Add, E=Detach/Reattach Debtor, U=Update, V=Add Joint Record; A
Record Type	CHAR(1)	36	36		23 D 43 47	2=type 2; N Error code 47 for actions I, S, Y, Ø, 1, G, R.
Debtor Address, Line 1	CHAR(30)	37	66		A 11 U 31	LJ SF AN
Debtor Address, Line 2	CHAR(30)	67	96	X	N/A	Optional; LJ SF AN
Debtor Address, City	CHAR(25)	97	121		A 12 U 32	LJ SF AN
Debtor Address, State Code	CHAR(2)	122	123	X <sup>3</sup>	A,U 13 86 U 33	Use the standard U.S. Postal codes; LJ A
*Debtor Address, Zip Code	CHAR(9)	124	132	X <sup>3</sup>	A,U 14 U 69	1 <sup>st</sup> 5 bytes must be numeric unless used with Country Code, then must be completed or zeros, next four bytes may be numeric or spaces; LJ SF (last 4 bytes) ZF (1 <sup>st</sup> 5 bytes, when used with Country Code) AN
Debtor Address, Country Code	CHAR(3)	133	135	X <sup>3</sup>	A,U 13 81 86	Optional Use codes from list provided; LJ SF AN
Date Debt Originally Opened	DATE (8)	136	143		A 54 A,U 15, 65	Optional YYYYMMDD; if present, (date is edit checked for validity; SF N
Original Amount of Debt	NUM(12,2)	144	155		A,U 42	Optional if present, must be greater than 2499 (\$24.99); RJ SF N
Debtor TIN	CHAR(9)	156	164		A,U 05 1B	Required only for joint debts when more than one debtor already exist. SF N
Debtor Status Indicator	CHAR(1)	165	165		U 1A.,1K	I=Inactive, C=Closed, !=Reset to active
Reattach Agency ID	CHAR(8)	166	173		1C 1D	Required only when reattaching a debt. Must be same as current Agency ID
Reattach Agency Site ID	CHAR(8)	174	181		1C 1D	Required only when reattaching a debt.
Reattach Debt Number	CHAR(18)	182	199		1C 1D	Required only when reattaching a debt.
Filler	CHAR(1)	200	200		N/A	Leave blank; SF

**Note:** If no letter(s) appear before the error code, then all action codes could cause this error code, otherwise the action code(s) is listed in front of the error code (ie A10, U30).

Error Codes 52, 53 and 58 apply to an entire record not processing and do not map to a specific field on the record layouts.

### Notes

- 1 Reset column: Data fields marked with an 'X' in the Reset column of the record layout can be reset to blank using an '!' in this field position.
- 2 Debt numbers assigned by an agency must be unique within a site ID.
- 3 These fields are resettable if:

- a. Country Code is used and not 'US'; State Code and Zip Code may be reset.
- b. State Code and Zip Code is used; County Code may be reset (if Country Code is reset, State Code and Zip Code must be completed).
- c. Country Code is an optional field if State Code and Zip code are completed and Debtor address is within U.S.
- d. If a Country Code is added on an update record that previously did not have a Country Code and State Code is not reset to blank using the '!', an error condition will occur (EC 81).
- e. If Country Code is has been previously completed on a debt record and State Code is added on an update record with a valid State Code, the Country Code must be reset to blank using the '!' (or set to 'US'), or an error condition will occur (EC 86).

### Record Type 3: Alias Address (For Creditor Agency use, not used by TOP for Offset Information)

Key: RJ=right justified, LJ=left justified, SF=space filled, ZF=zero filled, AN=alphanumeric, A=alpha, N=numeric

Field	Format	Start	End	Reset <sup>1</sup>	Error Codes	Notes
Agency ID	CHAR(8)	1	8		01 45	Must be same value throughout the file; LJ SF AN
Agency Site ID	CHAR(8)	9	16		02 46	Can have multiple sites within one file (all for a single Agency); LJ SF AN
Debt Number <sup>2</sup>	CHAR(18)	17	34		03	Debt ID number within Creditor Agency; LJ SF AN
Action	CHAR(1)	35	35		23	A=Add, U=Update; A
Record Type	CHAR(1)	36	36		23 D 43 47	3=type 3; N Error Code 47 for actions I, S, Y, Ø, 1, G, R.
Sequence Number	NUM (2,0)	37	38		A 16 U 35	Must be 00 for "add" or actual sequence number for "update" available via the Alias Screen in the Client; N
Debtor Address, Line 1	CHAR(30)	39	68		A 17 U 36	LJ SF AN
Debtor Address, Line 2	CHAR(30)	69	98	X	N/A	Optional; LJ SF AN
Debtor Address, City	CHAR(25)	99	123		A 18 U 37	LJ SF AN
Debtor Address, State Code	CHAR(2)	124	125	X <sup>3</sup>	A 19 U 38	Use the standard US Postal codes; LJ A
*Debtor Address, Zip Code	CHAR(9)	126	134	X <sup>3</sup>	A 20 U 68	1 <sup>st</sup> 5 bytes must be numeric unless used with Country Code, <b>then must be completed or zeros</b> , next four bytes may be numeric or spaces; LJ SF (last 4 bytes) ZF (1 <sup>st</sup> 5 bytes, when used with Country Code) AN
Debtor Address, Country Code	CHAR(3)	135	137	X <sup>3</sup>	A,U 82 A,U 87	Optional Use codes from list provided; LJ SF AN
Effective Date	DATE(8)	138	145		A 56 A,U 21 U 39 U 61	YYYYMMDD, date agency rec'd alias information; date is edit checked for validity; N
Debtor TIN	CHAR(9)	146	154		A,U 05	Required only for joint debts when more than one debtor already exist. SF N
Filler	CHAR(46)	155	200		N/A	Leave blank; SF

**Note:** If no letter(s) appear before the error code, then all action codes could cause this error code, otherwise the action code(s) is listed in front of the error code (ie A10, U30).

\*Error Codes 55, 57, 58 and 60 apply to an entire record not processing and do not map to a specific field on the record layouts.

### Notes

- 1 Reset column: Data fields marked with an 'X' in the Reset column of the record layout can be reset to blank using an '!' in this field position.
- 2 Debt numbers assigned by an agency must be unique within a site ID.
- 3 These fields are resettable if:
  - a. Country Code is used and not 'US'; State Code and Zip Code may be reset.
  - b. State Code and Zip Code is used; County Code may be reset (if Country Code is reset, State Code and Zip Code must be completed).
  - c. Country Code is an optional field if State Code and Zip code are completed and Debtor address is within U.S.
  - d. If a Country Code is added on an update record that previously did not have a Country Code and State Code is not reset to blank using the '!', an error condition will occur (EC 81).
  - e. If Country Code is has been previously completed on a debt record and State Code is added on an update record with a valid State Code, the Country Code must be reset to blank using the '!' (or set to 'US'), or an error condition will occur (EC 86).

### Record Type 4: Alias Name (Used in addition to TOP/Agency Name Control for Offset Information)

Key: RJ=right justified, LJ=left justified, SF=space filled, ZF=zero filled, AN=alphanumeric, A=alpha, N=numeric

Field	Format	Start	End	Reset <sup>1</sup>	Error Codes	Notes
Agency ID	CHAR(8)	1	8		01 45	Must be same value throughout the file; LJ SF AN
Agency Site ID	CHAR(8)	9	16		02 46	Can have multiple sites within one file (all for a single Agency); LJ SF AN
Debt Number <sup>2</sup>	CHAR(18)	17	34		03	Debt ID number within Creditor Agency; LJ SF AN
Action	CHAR(1)	35	35		23	A=Add, U=Update; A 4=type 4; N
Record Type	CHAR(1)	36	36		23 D 43 47	Error Code 47 for actions I, S, Y, Ø, 1, G, R.
Sequence Number	NUM (2,0)	37	38		A 16 U 35	Must be 00 for "add" or actual sequence number for "update"; N
Debtor Last Name	CHAR (35)	39	73		A 22 U 40	LJ SF AN
Debtor First Name	CHAR (35)	74	108	X	N/A	Optional; LJ SF AN
Debtor Middle Initial	CHAR (1)	109	109	X	N/A	Optional; AN SF
Name Control Assigned by TOP	CHAR (4)	110	113		N/A	System generated Leave blank; SF
Effective Date	DATE(8)	114	121		A,U 21 A 56 U 39 U 61	YYYYMMDD, date agency rec'd alias information; date is edit checked for validity; N
Alias Debtor Tax ID Number ( <i>future use</i> <sup>3</sup> )	CHAR(9)	122	130		N/A	Cannot equal Zeros; N
Alias Agency Name Control	CHAR(4)	131	134		U 41	Reserved for Agency use; AN
Debtor TIN	CHAR(9)	135	143		A,U 05	Required only for joint debts when more than one debtor already exist. SF N
Filler	CHAR(57)	144	200		N/A	Leave blank; SF

**Note:** If no letter(s) appear before the error code, then all action codes could cause this error code, otherwise the action code(s) is listed in front of the error code (ie A10, U30).

\*Error Codes 55, 57, **58** and 60 apply to an entire record not processing and do not map to a specific field on the record layouts.

### Notes

- 1 Reset column: Data fields marked with an 'X' in the Reset column of the record layout can be reset to blank using an '!' in this field position.
- 2 Debt numbers assigned by an agency must be unique within a site ID.
- 3 *Future Use:* Space is reserved on the record layout for this function. The actual implementation and functionality will be announced.

**Record Type 6: Payment Bypass/Offset Record** (Use of this record must be coordinated with TOP)

Key: RJ=right justified, LJ=left justified, SF=space filled, ZF=zero filled, AN=alphanumeric, A=alpha, N=numeric

Field	Format	Start	End	Reset <sup>1</sup>	Error Codes	Notes
Agency ID	CHAR(8)	1	8		01 45	Must be same value throughout the file; LJ SF AN
Agency Site ID	CHAR(8)	9	16		02 46	Can have multiple sites within one file (all for a single Agency); LJ SF AN
Debt Number <sup>2</sup>	CHAR(18)	17	34		03	Debt ID number within Creditor Agency; LJ SF AN
Action	CHAR(1)	35	35		23	A=Add, D=Delete, O=Override, U=Update/Overlay; A
Record Type	CHAR(1)	36	36		23 47	6=type 6; N Error → de 47 for actions I, S, Y, Ø, 1, G, R.
Payment Bypass Indicator	CHAR(3)	37	39	X	A 89 A,U 77 D 78 A,D,U 76	Use codes from TOP provided list. ! =resets Bypass Indicator to blanks and allows for offset of all payments; LJ AN.
Override Action	CHAR(1)	40	40		O 97	A=Add Override, C=Change Override, D=Delete Override
Override Source of Payment	CHAR(3)	41	43		O 92, 96	Must be valid LJ A
Payment Agency ID	CHAR(2)	44	45		O 93	Must be valid AN
Payment Override Amount	CHAR(14)	46	59		O 94	Required for Override Action A & C N RJ ZF
Payment Override Percent	CHAR(5)	60	64		O 95	Required for Override Action A & C N RJ ZF
Debtor TIN	CHAR(9)	65	73		A,U 05	Required only for joint debts when more than one debtor already exist. SF N
Filler	CHAR(29)	74	200		N/A	Leave blank; SF

## 25.15. DI-15 – Client Payments Validation - On Demand

### 25.15.1. Summary Info

<b>System</b>	CRT, CAT, PC Cash
<b>Ext. Filename</b>	
<b>Int. Filename</b>	CASH-VERIFY
<b>In/Out</b>	In / Out
<b>Periodicity</b>	On Demand
<b>Trigger</b>	ISSD SQL DTS “NCRCash1b_ValidateCRS” invokes MF Job SCRSD6
<b>Description</b>	Payments recorded by remittance processing in CRT, CAT, or PC Cash – for intra-day validation during manual data entry of payments/ adjustments. (Same as D7 but does not pass the transactions to SCRSD1 for posting.)

### 25.15.2. Processing Description & Rules

#### 25.15.2.1. General Notes

This process, unlike D7, does not post the transactions. For each transaction in the inbound file, it only validates that the transaction has not already been posted, and returns the appropriate AFRS coding for the transaction.

#### 25.15.2.2. “As-Is” System

1. Check for Duplicates
2. If duplicate, write to CASH ERROR file
3. If not Duplicate
  - a. lookup AFRS coding in the AFRS Coding Derivation Matrix
  - b. Write derived AFRS coding to file for the transaction

See Appendix E – FNS Interface Processing for activity diagrams.

#### 25.15.2.3. “To-Be” System

This interface is expected to function largely the same way in the to-be system. The processing may be different if the AFRS coding is either already available from the FNS side, or is available on the Obligation in CRS.

#### 25.15.2.4. Developer Notes

Same inbound file used in SCRSD6/D7.

### 25.15.3. File Layout

```

CSVREC
CSVREC*****
CSVREC*                CASH-VERIFY RECORD                *
```

```

CSVREC*****
CSVREC 01  CASH-VERIFY-REC.
CSVREC      05  CV-HEADER.
CSVREC          10  CV-DOCUMENT-DATE          PIC X(06).          MMDDYY
CSVREC          10  CV-A8NUM.
CSVREC          15  CV-HEADER-CONSTANT        PIC X(02).
CSVREC          88  CV-HEADER-RECORD          VALUE 'CR'.
CSVREC          15  CV-A8-NUM                  PIC X(03).
CSVREC          10  CV-RECCOUNT                PIC 9(05).
CSVREC          10  CV-TOTALAMT                PIC 9(11)V99.
CSVREC          10  FILLER                    PIC X(112).
CSVREC      05  CV-DETAIL REDEFINES CV-HEADER.
CSVREC          10  CV-CRJLINENUM.
CSVREC          15  CV-CRJNUM                  PIC X(05).
CSVREC          15  CV-LINENUM                PIC X(03).
CSVREC          10  CV-ORIGLINENUM            PIC X(08).
CSVREC          10  CV-ORIGDATE                PIC X(06).          MMDDYY
CSVREC          10  CV-PAYMENTFROM            PIC X(30).
CSVREC          10  CV-SSN                    PIC X(13).
FORMERLY USED FOR OBL#
CSVREC          10  CV-NAME                    PIC X(21).
CSVREC          10  CV-PMTTYPE                PIC X(03).
CSVREC          88  NSF-PMT-TYPE              VALUE 'NSF'.
CSVREC          88  REVERSAL-PMT-TYPE        VALUE 'REV'.
CSVREC          88  ADJUSTMENT-PMT-TYPE      VALUE 'ADJ'.
CSVREC          88  PAYMENT-PMT-TYPE         VALUE 'PMT'.
CSVREC          10  CV-NEGFLAG                PIC X(01).
CSVREC          88  NEGATIVE-AMT              VALUE 'X'.
CSVREC          10  CV-CRJ-AMOUNT              PIC 9(09)V99.
CSVREC          10  CV-OBL-ID                  PIC X(13).
CSVREC          10  CV-CAT-ADJNUM              PIC 9(05).
CSVREC          10  CV-TENDER-TYPE            PIC X(02).
CSVREC          10  CV-CUR-DOC-NO             PIC X(08).
CSVREC          10  CV-CUR-DOC-NO-SUFFIX      PIC X(02).
CSVREC          10  CV-REF-DOC-NO             PIC X(08).
CSVREC          10  CV-REF-DOC-NO-SUFFIX      PIC X(02).

```

## 25.16. **DI-16 – Client Payments Validation – Batch**

### 25.16.1. **Summary Info**

<b>System</b>	CRT, CAT, PC Cash
<b>Ext. Filename</b>	
<b>Int. Filename</b>	CASH-VERIFY
<b>In/Out</b>	In
<b>Periodicity</b>	On Demand
<b>Trigger</b>	ISSD SQL DTS “NCRCash3c_CRS” invokes MF Job SCRSD7
<b>Description</b>	Payments recorded by remittance processing in CRT, CAT, or PC Cash – for end-of-day validation and posting after processing of all payments/ adjustments (both manual and automated).

### 25.16.2. **Processing Description & Rules**

#### 25.16.2.1. **General Notes**

See Appendix E – FNS Interface Processing for activity diagrams.

#### 25.16.2.2. **“As-Is” System**

See Appendix E – FNS Interface Processing for activity diagrams.

#### 25.16.2.3. **“To-Be” System**

New requirement: derive & record the AFRS Coding as part of posting, in the posted transaction in CRS.

#### 25.16.2.4. **Developer Notes**

*Same inbound file used in SCRSD6/D7.*

### 25.16.3. **File Layout**

See CASH-VERIFY in DIS-03.

## 25.17. DI-17 – Daily Client-Ob Relations Export

### 25.17.1. Summary Info

<b>System</b>	FSA Payment Processing (CRT, CAT, PC Cash)
<b>Ext. Filename</b>	Daily-CLIENTS.TXT
<b>Int. Filename</b>	SCRS*CLIENTS
<b>In/Out</b>	Out
<b>Periodicity</b>	Weekly (even though it says daily)
<b>Trigger</b>	SCRSD2
<b>Description</b>	Full Client-Obligation extract. MF Job places file on FSA's ftp server (\\DSHS\fsa\FINDIVFTP\CRS\NCR\Prod\Import\):

### 25.17.2. Processing Description & Rules

#### 25.17.2.1. General Notes

These 5 export feeds provide a periodic snapshot of CRS data to FNS, which it imports into its own system for use by its internal processes and payment processing systems.

#### 25.17.2.2. “As-Is” System

Note: D2 updates the D8 Date to satisfy the requirement to generate

#### 25.17.2.3. “To-Be” System

Must persist.

#### 25.17.2.4. Developer Notes

SCRSD2's CRSEXTR5

Uses the same file structure as other Obligation and client data files.

DAILY EXTRACT PROGRAM

Read Posted Transaction records extracting the latest detail posted since the last SCRSD8 run (based on a date record).

Transactions types F70/71 and P70/71 cause the program to extract the latest clients added to CRS. The extracted records will be merged into the weekly extracted detail on the server.

Detail extracted include Client records, Cli-Ob relation recs, Obligation detail, SSPS Account Code detail and all posted transactions since the last extract.

Input files:

- SCRSD8's Date/Time stamp record (This record is updated by this program to insure only the newest data is extracted. )

Database records Accessed:

CRS-POSTED-REC  
CRS-OBLIGATION-REC  
CRS-CLI-OBL-REC  
CRS-CLIENT-REC  
CRS-OBL-ACCTING-DATA-REC

Output files to be downloaded:

Latest Posted Transactions  
Newest Client Record data  
Newest Obligation Record data  
Newest Obligation Relation data  
Newest Obligation SSPS breakown

### 25.17.3. File Layout

```
@USE DAILY-CLIOBL., *DAILY-CLIOB(+1).
01 WS-COB-EXTRACT-REC.
    05 WS-COB-SSN PIC X(09) VALUE SPACES.
    05 WS-COB-OBL-ID PIC X(13) VALUE SPACES.
    05 WS-COB-TRACKED-IND PIC X(01) VALUE SPACES.
    05 WS-COB-STAT-CD-IND PIC X(01) VALUE SPACES.
    05 WS-COB-TYP-REA-PRI PIC X(03) VALUE SPACES.
    05 WS-COB-OCC-DATE PIC X(08) VALUE SPACES.
    05 WS-COB-SRVD-DATE PIC X(08) VALUE SPACES.
    05 WS-COB-STATUS-CODE PIC X(03) VALUE SPACES.
    05 WS-COB-NON-RESP PIC X(01) VALUE SPACES.
    05 WS-COB-OB-CAT PIC X(01) VALUE SPACES.
    05 WS-COB-CLI-DESIG PIC X(01) VALUE SPACES.
    05 WS-COB-AE-RECOUP PIC +9(03).99 VALUE ZEROES.
    05 WS-COB-REPAY-ESTAB-DATE PIC X(08) VALUE SPACES.
    05 WS-COB-REPAY-AMT PIC +9(03).99 VALUE ZEROES.
    05 WS-COB-FTROP-IND PIC X(01) VALUE SPACES.
    05 WS-COB-FTROP-CCYY.
        10 WS-COB-FTROP-CC PIC 9(02) VALUE ZEROES.
        10 WS-COB-FTROP-YY PIC 9(02) VALUE ZEROES.
    05 WS-COB-FTROP-CERT-FLAG PIC X(01) VALUE SPACES.
    05 WS-COB-DATE-TIME-STAMP.
        10 WS-COB-DATE-STAMP PIC X(08) VALUE SPACES.
        10 WS-COB-TIME-STAMP PIC X(08) VALUE SPACES.
```

## 25.18. DI-18 – Daily Clients Export

### 25.18.1. Summary Info

<b>System</b>	FSA Payment Processing (CRT, CAT, PC Cash)
<b>Ext. Filename</b>	Daily-CLIENTS.TXT
<b>Int. Filename</b>	SCRS*CLIENTS
<b>In/Out</b>	Out
<b>Periodicity</b>	Weekly (even though it says daily)
<b>Trigger</b>	SCRSD2
<b>Description</b>	Full Client extract. MF Job places file on FSA's ftp server (\\DSHS\fsa\FINDIVFTP\CRS\NCR\Prod\Import\):

### 25.18.2. Processing Description & Rules

#### 25.18.2.1. General Notes

These 5 export feeds provide a periodic snapshot of CRS data to FNS, which it imports into its own system for use by its internal processes and payment processing systems.

#### 25.18.2.2. “As-Is” System

-

#### 25.18.2.3. “To-Be” System

Must persist.

#### 25.18.2.4. Developer Notes:

### 25.18.3. File Layout

```
@USE DAILY-CLIENT., *DAILY-CLIENT (+1) .
```

```
01 WS-CLI-EXTRACT-REC .
05 WS-CLI-SSN-NO PIC X(09) VALUE SPACES .
05 WS-CLI-ACES-CLI-ID PIC X(09) VALUE SPACES .
05 WS-CLI-DOB PIC X(08) VALUE SPACES .
05 WS-CLI-SEX PIC X(01) VALUE SPACES .
05 WS-CLI-RACE-ETHNIC PIC X(03) VALUE SPACES .
05 WS-CLI-LANGUAGE PIC X(03) VALUE SPACES .
05 WS-CLI-DISABILITY PIC X(03) VALUE SPACES .
05 WS-CLI-NUM-IN-HOUSEHOLD PIC 9(02) VALUE ZEROES .
05 WS-CLI-NAME-1 PIC X(40) VALUE SPACES .
05 WS-ADDRESS-1 .
10 WS-ADDR1-STREET-1 PIC X(24) VALUE SPACES .
10 WS-ADDR1-STREET-2 PIC X(24) VALUE SPACES .
10 WS-ADDR1-CITY PIC X(15) VALUE SPACES .
10 WS-ADDR1-STATE PIC X(03) VALUE SPACES .
10 WS-ADDR1-ZIP PIC X(10) VALUE SPACES .
05 WS-PA-OFF-ASST-DATE PIC X(08) VALUE SPACES .
```

05	WS-FS-OFF-ASST-DATE	PIC X(08)	VALUE SPACES.
05	WS-CLI-PHONE	PIC X(10)	VALUE SPACES.
05	WS-CLI-PHONE-IND	PIC X(01)	VALUE SPACES.
05	WS-CLI-BAL-DUE	PIC +9(9).99	VALUE ZEROES.
05	WS-CLI-FTROP.		
	10 WS-CLI-FTROP-IND	PIC X(01)	VALUE SPACES.
	10 WS-CLI-FTROP-CCYY.		
	15 WS-CLI-FTROP-CC	PIC 9(02)	VALUE ZEROES.
	15 WS-CLI-FTROP-YY	PIC 9(02)	VALUE ZEROES.
05	WS-CLI-LAST-ES-MAT-DATE	PIC X(08)	VALUE SPACES.
05	WS-CLI-LAST-PAYMENT-DAT	PIC X(08)	VALUE SPACES.
05	WS-CLI-SHELTER	PIC X(02)	VALUE SPACES.
05	WS-CLI-PA-CFS-NUM.		
	10 WS-CLI-PA-ACES-NUM	PIC X(09)	VALUE SPACES.
	10 WS-CLI-PA-ACES-FILL	PIC X(01)	VALUE SPACES.
05	WS-CLI-PA-PGM-CODE	PIC X(02)	VALUE SPACES.
05	WS-CLI-PA-PGM-TYPE	PIC X(01)	VALUE SPACES.
05	WS-CLI-PA-CSO	PIC 9(03)	VALUE ZEROES.
05	WS-CLI-FS-CFS-NUM.		
	10 WS-CLI-FS-ACES-NUM	PIC X(09)	VALUE SPACES.
	10 WS-CLI-FS-ACES-FILL	PIC X(01)	VALUE SPACES.
05	WS-CLI-FS-PGM-CODE	PIC X(02)	VALUE SPACES.
05	WS-CLI-FS-PGM-TYPE	PIC X(01)	VALUE SPACES.
05	WS-CLI-FS-CSO	PIC 9(03)	VALUE ZEROES.
05	WS-CLI-INDICATORS.		
	10 WS-CLI-ES-MATCH	PIC X(01)	VALUE SPACES.
	10 WS-CLI-WGR	PIC X(01)	VALUE SPACES.
	10 WS-CLI-NO-INTERFACE	PIC X(01)	VALUE SPACES.
	10 WS-CLI-LIEN	PIC 9(02)	VALUE ZEROES.
	10 WS-CLI-FIP-OB	PIC 9(02)	VALUE ZEROES.
05	WS-CLI-TOT-CLI-BAL	PIC +9(11).99	VALUE ZEROES.
05	WS-CLI-CBR	PIC X(10)	VALUE SPACES.
05	WS-CLI-MED-ACES-NUM	PIC X(09)	VALUE SPACES.
05	WS-MED-OFF-ASST-YYYYMM	PIC X(06)	VALUE SPACES.
05	WS-CLI-TRCK.		
	10 WS-CLI-TRK-CUST-ID	PIC X(04)	VALUE SPACES.
	10 WS-CLI-TRK-DATE	PIC X(08)	VALUE SPACES.
	10 WS-CLI-TRK-TIME	PIC X(08)	VALUE SPACES.
	10 WS-CLI-TRK-TXN	PIC X(06)	VALUE SPACES.
05	WS-CLI-DATE-TIME-STAMP.		
	10 WS-CLI-DATE-STAMP	PIC X(08)	VALUE SPACES.
	10 WS-CLI-TIME-STAMP	PIC X(08)	VALUE SPACES.

## 25.19. DI-19 – Daily Obligations Export

### 25.19.1. Summary Info

<b>System</b>	FSA Payment Processing (CRT, CAT, PC Cash)
<b>Ext. Filename</b>	Daily-OBLIGATIONS.TXT
<b>Int. Filename</b>	SCRS*CRS-OBL
<b>In/Out</b>	Out
<b>Periodicity</b>	Weekly (even though it says daily)
<b>Trigger</b>	SCRSD2
<b>Description</b>	Full Obligation extract. MF Job places file on FSA's ftp server (\\DSHS\fsa\FINDIVFTP\CRS\NCR\Prod\Import\):

### 25.19.2. Processing Description & Rules

#### 25.19.2.1. General Notes

These 5 export feeds provide a periodic snapshot of CRS data to FNS, which it imports into its own system for use by its internal processes and payment processing systems.

#### 25.19.2.2. “As-Is” System

-

#### 25.19.2.3. “To-Be” System

Must persist

#### 25.19.2.4. Developer Notes:

### 25.19.3. File Layout

```
@USE          DAILY-OBL., *DAILY-OBL(+1).FD  NEW-SSPS

01  WS-OBL-EXTRACT-REC.
    05  WS-OBL-SSN                PIC X(09)      VALUE SPACES.
    05  WS-OBL-ID                 PIC X(13)      VALUE SPACES.
    05  WS-OBL-ORIG-CSO          PIC 9(03)      VALUE ZEROES.
    05  WS-OBL-ORIG-PROGRAM      PIC X(01)      VALUE SPACES.
    05  WS-OBL-INDICATORS.
        10  WS-OBL-LIEN           PIC 9(02)      VALUE ZEROES.
        10  WS-OBL-INT-ACC       PIC X(01)      VALUE SPACES.
        10  WS-OBL-FIP          PIC X(01)      VALUE SPACES.
        10  WS-OBL-RECOUPABLE    PIC X(01)      VALUE SPACES.
        10  WS-OBL-REPAY-REQD    PIC X(01)      VALUE SPACES.
        10  WS-OBL-MEDICAL      PIC X(01)      VALUE SPACES.
        10  WS-OBL-ERP          PIC X(01)      VALUE SPACES.
    05  WS-OBL-ORIG-AMT          PIC +9(8).99    VALUE ZEROES.
    05  WS-OBL-PRIN-BAL         PIC +9(8).99    VALUE ZEROES.
    05  WS-OBL-INT-BAL          PIC +9(8).99    VALUE ZEROES.
    05  WS-OBL-INT-PD           PIC +9(8).99    VALUE ZEROES.
    05  WS-OBL-WRITE-OFF-AMT    PIC +9(8).99    VALUE ZEROES.
    05  WS-OBL-CUR-BAL          PIC +9(8).99    VALUE ZEROES.
```

05	WS-OBL-BEG-MO-BAL	PIC +9(8).99	VALUE ZEROES.
05	WS-OBL-BEG-QA-BAL	PIC +9(8).99	VALUE ZEROES.
05	WS-OBL-BEG-YR-BAL	PIC +9(8).99	VALUE ZEROES.
05	WS-OBL-AGING.		
	10 WS-OBL-30-DAYS	PIC +9(8).99	VALUE ZEROES.
	10 WS-OBL-60-DAYS	PIC +9(8).99	VALUE ZEROES.
	10 WS-OBL-90-DAYS	PIC +9(8).99	VALUE ZEROES.
	10 WS-OBL-120-PLUS	PIC +9(8).99	VALUE ZEROES.
05	WS-OBL-ACES-PGM-CODE	PIC X(02)	VALUE SPACES.
05	WS-OBL-ACES-PGM-TYPE	PIC X(01)	VALUE SPACES.
05	WS-OBL-ACES-MED-CVRG	PIC X(03)	VALUE SPACES.
05	WS-OBL-FIN-RESP-ERROR	PIC X(01)	VALUE SPACES.
05	WS-OBL-BEG-DATE	PIC X(08)	VALUE SPACES.
05	WS-OBL-END-DATE	PIC X(08)	VALUE SPACES.
05	WS-OBL-LAST-PAY-DATE	PIC X(08)	VALUE SPACES.
05	WS-OBL-OVERPAY-LETTER	PIC X(08)	VALUE SPACES.
05	WS-OBL-ENTERED-DATE	PIC X(08)	VALUE SPACES.
05	WS-OBL-ZERO-DATE	PIC X(08)	VALUE SPACES.
05	WS-OBL-FOLDER-NAME	PIC X(40)	VALUE SPACES.
05	WS-OBL-SOL-DATE	PIC X(06)	VALUE SPACES.
05	WS-OBL-CODES.		
	10 WS-OBL-TYPE	PIC X(03)	VALUE SPACES.
	10 WS-OBL-REASON	PIC X(03)	VALUE SPACES.
	10 WS-OBL-SERV	PIC X(04)	VALUE SPACES.
05	WS-OBL-PROJ-CODES.		
	10 WS-OBL-PROJ-1	PIC X(03)	VALUE SPACES.
	10 WS-OBL-PROJ-2	PIC X(03)	VALUE SPACES.
	10 WS-OBL-PROJ-3	PIC X(03)	VALUE SPACES.
	10 WS-OBL-PROJ-4	PIC X(03)	VALUE SPACES.
	10 WS-OBL-PROJ-5	PIC X(03)	VALUE SPACES.
05	WS-OBL-WRITE-OFF	PIC X(03)	VALUE SPACES.
05	WS-OBL-DEDUCT	PIC X(02)	VALUE SPACES.
05	WS-OBL-MAX-CLI-DESIG	PIC X(01)	VALUE SPACES.
05	WS-OBL-TRCK.		
	10 WS-OBL-TRK-CUST-ID	PIC X(04)	VALUE SPACES.
	10 WS-OBL-TRK-DATE	PIC X(08)	VALUE SPACES.
	10 WS-OBL-TRK-TIME	PIC X(08)	VALUE SPACES.
	10 WS-OBL-TRK-TXN	PIC X(06)	VALUE SPACES.
05	WS-OBL-DATE-TIME-STAMP.		
	10 WS-OBL-DATE-STAMP	PIC X(08)	VALUE SPACES.
	10 WS-OBL-TIME-STAMP	PIC X(08)	VALUE SPACES.

## 25.20. DI-20 – Daily SSPS Detail

### 25.20.1. Summary Info

<b>System</b>	FSA Payment Processing (CRT, CAT, PC Cash)
<b>Ext. Filename</b>	Daily-SSPS-Detail.TXT
<b>Int. Filename</b>	SCRS*SSPSOBLINFO
<b>In/Out</b>	Out
<b>Periodicity</b>	Weekly (even though it says daily)
<b>Trigger</b>	SCRSD2
<b>Description</b>	Full SSPS Obligation status info extract. MF Job places file on FSA's ftp server (\\DSHS\fsa\FINDIVFTP\CRS\NCR\Prod\Import\):

### 25.20.2. Processing Description & Rules

#### 25.20.2.1. General Notes

These 5 export feeds provide a periodic snapshot of CRS data to FNS, which it imports into its own system for use by its internal processes and payment processing systems.

#### 25.20.2.2. “As-Is” System

-

#### 25.20.2.3. “To-Be” System

Must persist.

#### 25.20.2.4. Developer Notes

-

### 25.20.3. File Layout

```
@USE      DAILY-SSPS., *DAILY-SSPS (+1) .
```

```
01  WS-SSPS-EXTRACT-REC.
    05  WS-OBAC-OBLIGATION-ID      PIC X(13)      VALUE SPACES.
    05  WS-OBAC-SERVICE-CODE      PIC X(05)      VALUE SPACES.
    05  WS-OBAC-SOURCE-OF-FUNDS   PIC X(01)      VALUE SPACES.
    05  WS-OBAC-SERVICE-REASON    PIC X(02)      VALUE SPACES.
    05  WS-OBAC-ORG-INDEX         PIC X(04)      VALUE SPACES.
    05  WS-OBAC-OBL-AMOUNT        PIC +9(08) .99 VALUE ZEROES.
    05  FILLER                    PIC X(04)      VALUE SPACES.
    05  WS-SSP-DATE-TIME-STAMP.
        10  WS-SSP-SYS-DATE        PIC X(08)      VALUE SPACES.
        10  WS-SSP-SYS-TIME        PIC X(08)      VALUE SPACES.
```

## 25.21. DI-21 – Daily Transactions

### 25.21.1. Summary Info

<b>System</b>	FSA Payment Processing (CRT, CAT, PC Cash)
<b>Ext. Filename</b>	Daily-Transactions.TXT
<b>Int. Filename</b>	SCRS*CRSTRANS
<b>In/Out</b>	Out
<b>Periodicity</b>	Weekly (even though it says daily)
<b>Trigger</b>	SCRSD2
<b>Description</b>	Full Transaction extract. MF Job places file on FSA's ftp server (\\DSHS\fsa\FINDIVFTP\CRS\NCR\Prod\Import\):

### 25.21.2. Processing Description & Rules

#### 25.21.2.1. General Notes

These 5 export feeds provide a periodic snapshot of CRS data to FNS, which it imports into its own system for use by its internal processes and payment processing systems.

#### 25.21.2.2. “As-Is” System

-

#### 25.21.2.3. “To-Be” System

Must persist

#### 25.21.2.4. Developer Notes

-

### 25.21.3. File Layout

```

FD  TRANS-FILE
    LABEL RECORDS STANDARD.

01  WS-POS-EXTRACT-REC.
    05  WS-POS-IDENT                PIC X(13)    VALUE SPACES.
    05  WS-POS-BATCH-DATE           PIC X(08)    VALUE SPACES.
    05  WS-POS-BATCH.
        10  WS-POS-BATCH-TYPE       PIC X(01)    VALUE SPACES.
        10  WS-POS-BATCH-NUM       PIC 9(04)    VALUE ZEROES.
    05  WS-POS-DESC                 PIC X(25)    VALUE SPACES.
    05  WS-POS-LINE-ITEM            PIC X(04)    VALUE SPACES.
    05  WS-POS-AMOUNT              PIC +9(8) .99 VALUE ZEROES.
    05  WS-POS-TRANS-DATE          PIC X(08)    VALUE SPACES.
    05  WS-POS-INPUT-DATE          PIC X(08)    VALUE SPACES.
    05  WS-POS-TYPE                 PIC X(03)    VALUE SPACES.

```

05	WS-POS-DUP-TXN	PIC X(01)	VALUE SPACES.
05	WS-POS-TRCK	PIC X(26)	VALUE SPACES.
05	WS-POS-DATE-TIME-STAMP.		
10	WS-POS-SYS-DATE	PIC X(08)	VALUE SPACES.
10	WS-POS-SYS-TIME	PIC X(08)	VALUE SPACES.

## 25.22. DI-22 – Monthly Statements

### 25.22.1. Summary Info

<b>System</b>	ISSD IBM
<b>Ext. Filename</b>	
<b>Int. Filename</b>	
<b>In/Out</b>	Out
<b>Periodicity</b>	Monthly
<b>Trigger</b>	SCRSM2,SCRSM7,SCRSM8
<b>Description</b>	Generates monthly statements

### 25.22.2. Processing Description & Rules

#### 25.22.2.1. General Notes

Generates monthly statements for transfer to IBM job (ISSD) that prints the statements into predefined forms using Flash Forms (customized by language), for preparation by Enterprise Services and actual mailing by Consolidated Mail.

#### 25.22.2.2. “As-Is” System

Please see the “Statements” section of the Business System Requirements for a detailed treatment of how statements work today.

#### 25.22.2.3. “To-Be” System

Please see the “Statements” section of the Business System Requirements for a detailed treatment of requirements for the “to-be” system.

#### 25.22.2.4. Developer Notes

**Pending transaction extracts, updates, statements**

\* Perform the pending CRS database extracts;

```
@ . * This job will create a file of pending transaction records *
@ . * from cleared (current report month only) and uncleared (all) *
@ . * pending transaction records on the CRS database. *
@ . * Accumulate counts and amounts of specific pending trans: *
@ . * Create a file of cnt & amt of pending transaction records *
@ . * with a transaction code of FP7, PP7, FP8, PP8, FP9, or PP9. *
```

\* Perform the transaction summary extract and accumulation (200M)

This report produced are summary reports by Obligation reason, type, program, CSO (FS), CSO (PA), AND OSE.

Sorts are by reason, type, CSO, etc. depending on which rpt is being generate

\* Perform the CRS account aging process

- \* Produce statements
- \* Extract and report obligation reason changes for the month  
(including initializing the FS type changes area)
- \* Perform balance forwarding
- \* Extract statistical data for FREO supervisory reporting
- \* Set up statement files for statement detail screen access (CR227)
- \* Extract CSO info for Office of Financial & Admin. Services
- \* Set last month report date

### **25.22.3. File Layout**

Not available.

## 25.23. DI-28 – Lottery Report

### 25.23.1. Summary Info

<b>System</b>	Lottery
<b>Ext. Filename</b>	
<b>Int. Filename</b>	
<b>In/Out</b>	Out
<b>Periodicity</b>	Monthly?
<b>Trigger</b>	Ron Smith
<b>Description</b>	Pulls data to be combined with data from other collections systems (outside CRS) to send to lottery for deductions from winnings to pay debt.

### 25.23.2. Processing Description & Rules

#### 25.23.2.1. General Notes

One of the Ron Smith processes. Outputs data to be combined with data from other collections systems (outside CRS) to send to lottery for deductions from winnings to pay debt.

#### 25.23.2.2. “As-Is” System

The "Lottery Report" currently generated periodically by Ron Smith compiles data from CRS and a host of other collection systems (CARS, RPS, SSI, etc.).

#### 25.23.2.3. “To-Be” System

Generation of the compiled "Lottery Report" is not properly a CRS function. This should be an input to the larger report.

Also to be addressed: How much of this is really what’s being done by SCRSM4? For the “monthly lottery interface”?

#### 25.23.2.4. Developer Notes

VB Code from Ron Smith’s database for compiling the data:

```

Outrec = String(61, " ")
If EOF(1) Then GoTo Done
Line Input #1, inrec
CLI_SSN = Mid(inrec, 1, 9)
HoldName = Trim(Mid(inrec, 39, 40))
BalanceDue = Mid(inrec, 182, 13)
Print #3, CLI_SSN + "," + Chr(34) + Trim(HoldName) + Chr(34) + "," + BalanceDue
Mid(Outrec, 44, 10) = "3000000200"
Mid(Outrec, 54, 8) = Format(Date, "YYYYMMDD")
Mid(Outrec, 1, 9) = Right("000000000" + CLI_SSN, 9)

```

Mid(Outrec, 10, 3) = "CRS"  
Mid(Outrec, 20, 24) = HoldName  
Print #2, Outrec  
Irecs = Irecs + 1  
GoTo Again

### 25.23.3. File Layout

\*\*\* OUTPUT REC INCLUDES HARD-CODED VALUES FOR AGENCY & SYSTEM IDS

01 WS-LOTTERY-REC.  
    05 OUTPUT-SSN          PIC X(09).  
    05 OUTPUT-CFS-CASENUM  PIC X(10).  
    05 OUTPUT-CLIENT-NAME  PIC X(24).  
    05 OUTPUT-AGENCY-CODE  PIC X(10) VALUE '3000000200'.  
092298  05 OUTPUT-RUN-DATE  PIC X(08).

## **25.24. DI-29 – New Hire Report**

### **25.24.1. Summary Info**

<b>System</b>	CRS – This is a report for users
<b>Ext. Filename</b>	
<b>Int. Filename</b>	
<b>In/Out</b>	Out
<b>Periodicity</b>	Manual (weekly)
<b>Trigger</b>	Ron Smith
<b>Description</b>	Ron compares the weekly inbound file from the dept. of labor containing new hires with the CRS database to find SSN matches. He then outputs those matches to a report, which users reference to locate individuals who may now have the ability to pay.

### **25.24.2. Processing Description & Rules**

#### **25.24.2.1. General Notes**

Actually a report. Probably developed to fill the gap left by a non-functioning Quarterly SSPS ES Match.

#### **25.24.2.2. “As-Is” System**

Ron compares the weekly inbound file from the dept. of labor containing new hires with the CRS database to find SSN matches. He then outputs those matches to a report, which users reference to locate individuals who may now have the ability to pay.

#### **25.24.2.3. “To-Be” System**

The Quarterly SSPS ES match needs to be resurrected to fill this purpose. This report will be retired.

#### **25.24.2.4. Developer Notes**

-

### **25.24.3. File Layout**

Not available.

## 25.25. DI-30 – Lien Notices to QTRAN

### 25.25.1. Summary Info

<b>System</b>	Unknown (QTRAN)
<b>Ext. Filename</b>	
<b>Int. Filename</b>	
<b>In/Out</b>	Out
<b>Periodicity</b>	Daily
<b>Trigger</b>	SCRSD4
<b>Description</b>	Creates legal notices for download by other system(s) from QTRAN.

### 25.25.2. Processing Description & Rules

#### 25.25.2.1. General Notes

Create files for the following for download:

1. Order to withhold and deliver.
2. Wage assignment.
3. Notice to employer.
4. Notice of debt.
5. Non-lien notice release.
6. Standard lien.
7. Lien amendment.
8. Lien release.

#### 25.25.2.2. “As-Is” System

Feed may not be in use today. Unclear from available staff and inputs. Unlikely given that Liens & OWDs are not tracked as data in the system today.

#### 25.25.2.3. “To-Be” System

Expect this interface to be resurrected now that Liens and OWDs are tracked as data in the system again.

#### 25.25.2.4. Developer Notes

### 25.25.3. File Layout

Liens and Notices processing:

CRSB570D

THIS PROGRAM WILL READ FROM THE **NOTICE AREA** AND WRITE RECS TO ONE OF 9 FILES DEPENDING ON THE TYPE OF NOTICE GENERATED. IF THERE ARE NO OCCURRENCES OF A TYPE; A SINGLE 'ZERO' VALUE RECORD IS WRITTEN.

INPUT : CRS DATABASE.

```

OUTPUT: [9 EXEC FILES]
        POWD1-FILE
        POWD2-FILE
        POWD3-FILE
        WAGE-FILE
        EMPLOYER-FILE
        OWD1-FILE
        OWD2-FILE
        NOD-FILE
        RELEASE-FILE.

        FD CRS-POWD1-FILE
        LABEL RECORDS ARE STANDARD
051596  RECORD CONTAINS 364 CHARACTERS
        DATA RECORD IS POWD1-REC.

051596 01 POWD1-REC          PIC X(364) .
051596*** 05 POWD1-DATA     OCCURS 1 TO 30 TIMES
051596***          DEPENDING ON INX-REC-SIZE PIC X.

        FD CRS-POWD2-FILE
        LABEL RECORDS ARE STANDARD
051596  RECORD CONTAINS 364 CHARACTERS
        DATA RECORD IS POWD2-REC.

051596 01 POWD2-REC          PIC X(364) .
051596*** 05 POWD2-DATA     OCCURS 1 TO 30 TIMES
051596***          DEPENDING ON INX-REC-SIZE PIC X.

        FD CRS-POWD3-FILE
        LABEL RECORDS ARE STANDARD
051596  RECORD CONTAINS 364 CHARACTERS
        DATA RECORD IS POWD3-REC.

051596 01 POWD3-REC          PIC X(364) .
051596*** 05 POWD3-DATA     OCCURS 1 TO 30 TIMES
051596***          DEPENDING ON INX-REC-SIZE PIC X.

        FD CRS-WAGE-FILE
        LABEL RECORDS ARE STANDARD
051596  RECORD CONTAINS 364 CHARACTERS
        DATA RECORD IS WAGE-REC.

051596 01 WAGE-REC          PIC X(364) .
051596*** 05 WAGE-DATA     OCCURS 1 TO 30 TIMES
051596***          DEPENDING ON INX-REC-SIZE PIC X.

        FD CRS-OWD1-FILE
        LABEL RECORDS ARE STANDARD
051596  RECORD CONTAINS 364 CHARACTERS
        DATA RECORD IS OWD1-REC.

051596 01 OWD1-REC          PIC X(364) .
051596*** 05 OWD1-DATA     OCCURS 1 TO 30 TIMES
051596***          DEPENDING ON INX-REC-SIZE PIC X.

```

```
FD CRS-OWD2-FILE
LABEL RECORDS ARE STANDARD
051596 RECORD CONTAINS 364 CHARACTERS
DATA RECORD IS OWD2-REC.

051596 01 OWD2-REC PIC X(364) .
051596*** 05 OWD2-DATA OCCURS 1 TO 30 TIMES
051596*** DEPENDING ON INX-REC-SIZE PIC X.

FD CRS-EMPLOYER-FILE
LABEL RECORDS ARE STANDARD
051596 RECORD CONTAINS 364 CHARACTERS
DATA RECORD IS EMPLOYER-REC.

051596 01 EMPLOYER-REC PIC X(364) .
051596*** 05 EMP-DATA OCCURS 1 TO 30 TIMES
051596*** DEPENDING ON INX-REC-SIZE PIC X.

FD CRS-NOD-FILE
LABEL RECORDS ARE STANDARD
051596 RECORD CONTAINS 364 CHARACTERS
DATA RECORD IS NOD-REC.

051596 01 NOD-REC PIC X(364) .
051596*** 05 NOD-DATA OCCURS 1 TO 30 TIMES
051596*** DEPENDING ON INX-REC-SIZE PIC X.

FD CRS-RELEASE-FILE
LABEL RECORDS ARE STANDARD
051596 RECORD CONTAINS 364 CHARACTERS
DATA RECORD IS RELEASE-REC.

051596 01 RELEASE-REC PIC X(364) .
051596*** 05 REL-DATA OCCURS 1 TO 30 TIMES
051596*** DEPENDING ON INX-REC-SIZE PIC X.
```

OWD/POWD notices are processed in CRSB570D.

NOTC-TEXT is passed to the output rec for each type.

```

NOTICE*****
NOTICE*      - NOTC-REC - *
NOTICE* USED IN CR430 & CR570D IN THE PROCESS OF DOWNLOADING *
NOTICE* DATA FOR THE CREATION OF POWDS, OWDS AND OTHER CRS COLLECTION *
NOTICE* NOTIFICATIONS TO CLIENTS & THEIR EMPLOYERS *
NOTICE*      - NOTC-REC - *
NOTICE* ALSO USED IN CR540 & CR580D IN THE PROCESS OF DOWNLOADING *
NOTICE* DATA FOR THE CREATION OF LIENS, AMENDMENTS & RELEASES *
NOTICE*      > 5/16/91 GS LAST REVISED; TO ADD LIENS *
NOTICE*****
NOTICE 01  NOTC-REC.
NOTICE      05  NOTC-TYPE PIC X(06) .
NOTICE*      TOTAL NOTC-TEXT = PIC X(574) .
NOTICE      05  NOTC-TEXT.
NOTICE      10  NOTC-CLI-NAME PIC X(24) .
NOTICE      10  NOTC-ACCOUNT-NBR-1 PIC X(10) .
NOTICE      10  NOTC-ACCOUNT-NBR-2 PIC X(10) .
NOTICE      10  NOTC-CLI-ADDR-1 PIC X(24) .
NOTICE      10  NOTC-CLI-ADDR-2 PIC X(24) .
NOTICE      10  NOTC-CLI-ADDR-3 .
NOTICE          15  NOTC-CLI-CITY PIC X(15) .
NOTICE          15  FILLER PIC X(01) VALUE SPACE .
NOTICE          15  NOTC-CLI-STATE PIC X(03) .
NOTICE          15  FILLER PIC X(01) VALUE SPACE .
NOTICE          15  NOTC-CLI-ZIP PIC X(10) .
NOTICE      10  NOTC-CLI-SSN PIC X(11) .
NOTICE      10  NOTC-OVPYMT-LTR-DATE PIC X(08) .
NOTICE      10  NOTC-EMP-NAME PIC X(24) .
NOTICE      10  NOTC-EMP-ADDR-1 PIC X(24) .
NOTICE      10  NOTC-EMP-ADDR-2 PIC X(24) .
NOTICE      10  NOTC-EMP-ADDR-3 PIC X(24) .
NOTICE      10  NOTC-EMP-ADDR-4 .
NOTICE          15  NOTC-EMP-CITY PIC X(15) .
NOTICE          15  FILLER PIC X(01) VALUE SPACE .
NOTICE          15  NOTC-EMP-STATE PIC X(03) .
NOTICE          15  FILLER PIC X(01) VALUE SPACE .
NOTICE          15  NOTC-EMP-ZIP PIC X(10) .
NOTICE*      PIC X(306) REMAINS TO BE ALLOCATED BELOW
NOTICE      10  NOTC-ACCOUNT-BAL-X .
NOTICE          15  NOTC-ACCOUNT-BAL PIC ZZZZ9.99- .
NOTICE      10  NOTC-FREQ-NAME PIC X(27) .
NOTICE      10  NOTC-WAGE-ASSIGNMENT-X .
NOTICE          15  NOTC-WAGE-ASSIGNMENT PIC ZZZZ9.99- .
NOTICE      10  NOTC-25-PCT-NET-INC-X .
NOTICE          15  NOTC-25-PCT-NET-INC PIC ZZZZ9.99- .
NOTICE      10  NOTC-REQD-RESP-DATE PIC X(08) .
NOTICE      10  NOTC-POWD-LTR-DATE PIC X(08) .
NOTICE      10  NOTC-OWD-AMOUNT-X .
NOTICE          15  NOTC-OWD-AMOUNT PIC ZZZZ9.99- .
NOTICE      10  NOTC-ATTACH-OB-BAL-X .
NOTICE          15  NOTC-ATTACH-OB-BAL PIC ZZZZ9.99- .
NOTICE      10  NOTC-WAGE-ASSGN-LIAB-X .
NOTICE          15  NOTC-WAGE-ASSGN-LIAB PIC ZZZZ9.99- .
NOTICE*      TOTAL NOTC-TEXT = PIC X(364); 574 - 364 = 210 BALANCE
NOTICE      10  FILLER PIC X(209) VALUE SPACES.

```

```

NOTICE          10  NOTC-DELETE-SW          PIC X(01) .
NOTICE/*****
NOTICE*         - NOTC-LIE-REC -          *
NOTICE* USED IN CR540 & CR580D IN THE PROCESS OF DOWNLOADING          *
NOTICE* DATA FOR THE CREATION OF LIENS, LIEN-RELEASES & LIEN-AMENDMENTS*
NOTICE*****
NOTICE 01  NOTC-LIE-REC          REDEFINES NOTC-REC.
NOTICE          05  NOTC-LIE-TYPE          PIC X(06) .
NOTICE*         TOTAL NOTC-LIE-TEXT = PIC X(574) .
NOTICE          05  NOTC-LIE-TEXT.
NOTICE          10  NOTC-LIE-CLI-NAME          PIC X(24) .
NOTICE          10  NOTC-LIE-ACCOUNT-NBR-1     PIC X(10) .
NOTICE          10  NOTC-LIE-ACCOUNT-NBR-2     PIC X(10) .
NOTICE          10  NOTC-LIE-CLI-ADDR-1        PIC X(24) .
NOTICE          10  NOTC-LIE-CLI-ADDR-2        PIC X(24) .
NOTICE          10  NOTC-LIE-CLI-ADDR-3.
NOTICE          15  NOTC-LIE-CLI-CITY          PIC X(15) .
NOTICE          15  FILLER                    PIC X(01) .
NOTICE          15  NOTC-LIE-CLI-STATE         PIC X(03) .
NOTICE          15  FILLER                    PIC X(01) .
NOTICE          15  NOTC-LIE-CLI-ZIP          PIC X(10) .
NOTICE          10  NOTC-LIE-CLI-SSN          PIC X(11) .
NOTICE          10  NOTC-LIE-DOB              PIC X(08) .
NOTICE          10  NOTC-LIE-AUD-NAME         PIC X(24) .
NOTICE          10  NOTC-LIE-AUD-ADDR-1       PIC X(24) .
NOTICE          10  NOTC-LIE-AUD-ADDR-2       PIC X(24) .
NOTICE          10  NOTC-LIE-AUD-ADDR-3       PIC X(24) .
NOTICE          10  NOTC-LIE-AUD-ADDR-4.
NOTICE          15  NOTC-LIE-AUD-CITY         PIC X(15) .
NOTICE          15  FILLER                    PIC X(01) .
NOTICE          15  NOTC-LIE-AUD-STATE        PIC X(03) .
NOTICE          15  FILLER                    PIC X(01) .
NOTICE          15  NOTC-LIE-AUD-ZIP         PIC X(10) .
NOTICE*         PIC X(306) REMAINS TO BE ALLOCATED BELOW
NOTICE          10  NOTC-LIE-COUNTY          PIC X(24) .
NOTICE          10  NOTC-LIE-FREQ-NAME        PIC X(27) .
NOTICE          10  NOTC-LIE-RECORDING-TEXT   PIC X(24) .
NOTICE* PETER'S DOWNLOAD SPECS CALL FOR THE FOLLOWING;
NOTICE* THE DATABASE/SCREENS PROVIDE THE ABOVE ITEM
NOTICE*          10  NOTC-LIE-VOLUME          PIC X(09) .
NOTICE*          10  NOTC-LIE-PAGE           PIC X(09) .
NOTICE*          10  NOTC-LIE-NUMBER         PIC X(09) .
NOTICE          10  NOTC-LIE-RECORDING-DATE  PIC X(08) .
NOTICE          10  NOTC-LIE-AMT.
NOTICE          15  NOTC-LIE-AMT-X          PIC ZZZZ9.99-.
NOTICE          10  NOTC-LIE-CURRENT-DATE    PIC X(08) .
NOTICE          10  NOTC-LIE-LETTER-OPTION   PIC X(01) .
NOTICE          10  NOTC-LIE-DESC          PIC X(50) OCCURS 4 TIMES.
NOTICE*         TOTAL NOTC-LIE-TEXT = PIC X(364); 574 - 568 = 06 BALANCE
NOTICE          10  FILLER                    PIC X(05) .
NOTICE          10  NOTC-LIE-DELETE-SW      PIC X(01) .
NOTICE/*****

```

CRSB580D \*\*\* CRS NOTICE

TABLE LOAD \*\*\*

THIS PROGRAM WILL READ FROM A FILE CONTAINING NOTICE TABLE ENTRIES AND WRITE THEM TO ONE OF 6 FILES DEPENDING ON THE TYPE OF NOTICE GENERATED. IF THERE ARE NO OCCURRENCES OF A TYPE; A SINGLE 'ZERO' VALUE RECORD IS WRITTEN.

INPUT : CRS DATABASE.

OUTPUT: [6 EXEC FILES]

LIEN	(lien)
AMEND	(lien - amendment)
LIEN-REL	(lien - release)
LIEN-FNL	(lien - funeral)
LIEN-SPE	(lien - special)
LIEN-ERP	(lien - estate recovery program)

This program deals with lien notices only.

## 25.26. DI-31 – Weekly OFA Obligations In

### 25.26.1. Summary Info

<b>System</b>	DIS IBM / Famlink (OFA)
<b>Ext. Filename</b>	SCRS*OVERPAYESTAB
<b>Int. Filename</b>	
<b>In/Out</b>	In
<b>Periodicity</b>	Weekly
<b>Trigger</b>	Mainframe Job SCRSF1
<b>Description</b>	Weekly feed of Obligations from OFA (Office of Fraud and Accountability)

### 25.26.2. Processing Description & Rules

#### 25.26.2.1. General Notes

Weekly feed of Obligations from OFA (Office of Fraud and Accountability).

#### 25.26.2.2. “As-Is” System

TBD.

#### 25.26.2.3. “To-Be” System

Must persist.

#### 25.26.2.4. Developer Notes

CRSB907U – OFA Establishment Interface

OFA’s data pulled from the IBM (from OFA?)

CRS OBL w/OFA-CASE-NUMBER

**Input: SCRS\*OVERPAYESTAB** (cycle 86 had data)

Not yet know the IBM job name that sends this data to create the SCRS\*OVERPAYESTAB file .

**Output** – OFA Match Report:

**SCRSF1\*CRSB907U-RP1.** (cycle 80)

Sym’d to OFR print queue – possible email delivery.

### 25.26.3. File Layout

TBD.

## 25.27. DI-32 – Daily OFA Transactions Out

### 25.27.1. Summary Info

<b>System</b>	DIS IBM / Famlink (OFA)
<b>Ext. Filename</b>	
<b>Int. Filename</b>	
<b>In/Out</b>	Out
<b>Periodicity</b>	Daily
<b>Trigger</b>	Mainframe Job SCRSF0
<b>Description</b>	Daily feed of Transactions to OFA (Office of Fraud and Accountability)

### 25.27.2. Processing Description & Rules

#### 25.27.2.1. General Notes

Daily feed of Transactions to OFA (Office of Fraud and Accountability).

#### 25.27.2.2. “As-Is” System

TBD.

#### 25.27.2.3. “To-Be” System

Must persist.

#### 25.27.2.4. Developer Notes

CRSB906U - OFA Recovery Interface  
Extract to the IBM for transferring to OFA  
**Input: CRS Obligations.**

**Output: SCRSF0\*CRSB906U-EX**  
FTP'd to PUT,DISV1.DIS.WA.GOV,\$SH0300,HALLOWAY  
Named 'CRS300.CRS.OFA.TRANS'  
Sent:  
OFA CASE NO, ACES CLID, TRANS AMOUNT, INPUT DATE, OBLIGATION ID, POS TYP, PGM  
CD, PGM TYP

### 25.27.3. File Layout

TBD.

## 26. Appendix A – Processing Details for Cash Receipts Jobs

### 26.1. Processing Flow Diagrams

The attached MS Visio file contains 5 diagrams (1 per 'tab') to define CRS processing of Cash Receipts transmitted from CRT/CAT/PC Cash.

These diagrams describe the processing flow in detail for each of the following jobs, as referenced from the context of the interface(s) they are responsible for processing in the above sections:

- SCRS06 (DIS-03 – Client Payments Validation – On Demand):
  - SCRS06.1
- SCRS07 (DIS-04 – Client Payments Validation – Batch):
  - SCRS07.1
  - SCRS07.2
- SCRS01 (DIS-04 – Client Payments Validation – Batch):
  - SCRS01.1
  - SCRS01.2



CRS Cash Job  
Flowcharts v2.pdf

### 26.2. Business Function per Job

#	COBOL	Description	Jobs		
			SCRS06	SCRS07	SCRS01
1.	CRSB800D	Check for duplicate CRJLine	✓	✓	
2.	CRSB820D	Create payment application based on SSN. No DB update.	✓		
3.	CRSB840D	Create payment application based on SSN. With DB update.		✓	
4.	CRSB830D	Get AFRS codes for payment applications.	✓		
5.	CRSB850D	Conditionally create files for SCRS01.		✓	

#	COBOL	Description	Jobs		
			SCRSD6	SCRSD7	SCRSD1
6.	CRSB810D	Check for duplicate transactions from SCRSD7.			✓
7.	CRSB510D	Post valid cash transactions. Reject invalid cash transactions to pending.			✓

## 27. Appendix B – TOP Record Layouts

The attached MS Word file defines the inbound and outbound file record layouts for all the CRS TOP interfaces, as referenced from the named interfaces in the present document (above).



TOP Formats 901  
Joint Several V3 2.do

## 28. Appendix C – TOP Interfaces Processing Description & Rules

The attached PDF document describes the processing flow and detailed business logic for record selection, data transformations, etc. when sending and receiving data files from/to the federal TOP system, as referenced from the named interfaces in the present document (above).



TOP Processes April  
2012.pdf

*Note: As of 2015 this functionality has been incorporated back into CRS itself, and undergone some modifications to adjust for new rules and policies. It is included here for example, only.*

## 29. Appendix D – System-Generated Reports

The attached xls contains two worksheets: 1 listing current mainframe jobs (“Job Inventory”), and 1 listing the “reports” currently generated by the system, per job (“Job Reports”).

This inventory is included for reference only. All system-initiated reporting requirements will be defined separately, in the Reports Definition Document, and as stipulated by the Business System Requirements.



CRS MF Job and  
Interface Inventory.›

### 30. Appendix E – FNS Interface Processing

The attached component diagram illustrates the high-level interactions between the components referenced in the present document.



COTS-ISSD  
Interfaces.pdf

### 31. Appendix F – OFA Interactions

The attached document shows technical details of jobs and filenames for each of the OFA interfaces, from the point of view of OFA and the intermediate DIS IBM mainframe system.



CRS FRAUD AND  
ACCOUNTABILITY.do



# CRS Replacement Project Use Cases

Prepared by Critical Logic



#	Description	Changed By	Date
1.0	RFQQ Draft	Adam Richards, Matt Dahl	3/31/2013
1.1	Updates for new RFQQ: <ul style="list-style-type: none"> <li>- New "Top-Level Functions" UC diagram</li> <li>- Clarified MODIS swimlanes in as-is &amp; to-be activity diagrams for Forms process</li> </ul>	Adam Richards	11/13/2015

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## 32. Introduction

This document provides a “top-down” functional view of the requirements for a CRS Replacement.

It identifies system-level “black box” use cases, and elaborates their relationships graphically using use case diagrams using formal UML notation.

This approach allows for representation of the key functions that must be performed in, by, and around the system, and how they relate to each other, without attempting to prescribe the design. It also provides an orientation to the detailed business logic at the heart of the system.

The use cases and diagrams are the starting point for system implementation, providing visibility and strong traceability from requirements to any proposed implementation solution.

### 32.1. How to Read This Document

#### 32.1.1. Structure

The document organizes the functionality of the system according to the following functional groupings, which constitute the “top-level” CRS use cases:

1. Manage Clients
2. Manage Liens
3. Manage Obligations
4. Settlements
5. Payment Plans
6. Forms Process
7. Payment Processing
8. State Derivations
9. Statement Processing
10. TOP Processing
11. ACES Interfaces
12. ISSD Interfaces
13. Misc. System Interfaces

All of the business functions that must be supported by a CRS Replacement fall into one or more of these use cases.

The use case diagram housed in each top-level use case describes the cross-functional relationships among the lower-level use cases.

Functional dependencies are also shown for use cases that generate or depend on data interfaces – the interfaces are shown directly in the diagrams, by name.

In most cases, a narrative is provided only for the top-level use cases. The narrative is intended to provide context for interpretation of the relationships shown in the diagram.

Some cases also include (or include references to) supplementary information such as detailed business rules, activity diagrams, and state charts.

It is expected that some further elaboration of the lower-level use cases will be necessary as part of the implementation process, in order to ensure alignment between the business requirements and their implementation.

### **32.1.2. “As-Is” vs. “To-Be”**

The use cases and use case diagrams in this document are intended to represent the “to-be” system – that is, the CRS Replacement system.

In many cases, these diagrams accurately reflect current processes and functions – the basic business function is not changing. However, there are also many new cases and relationships.

Additional notes on “as-is” vs. “to-be”:

- New business data structures that are required to support business or system functions (e.g. ) are typically shown as “use cases” for managing that data structure

*For example, “Payment Plan,” given its own top-level use case, is a new concept that allows OWDs, Wage Assignments, and Payment Agreements to be grouped together as types of Payment Plans, with certain data, rules, and functions in common.*

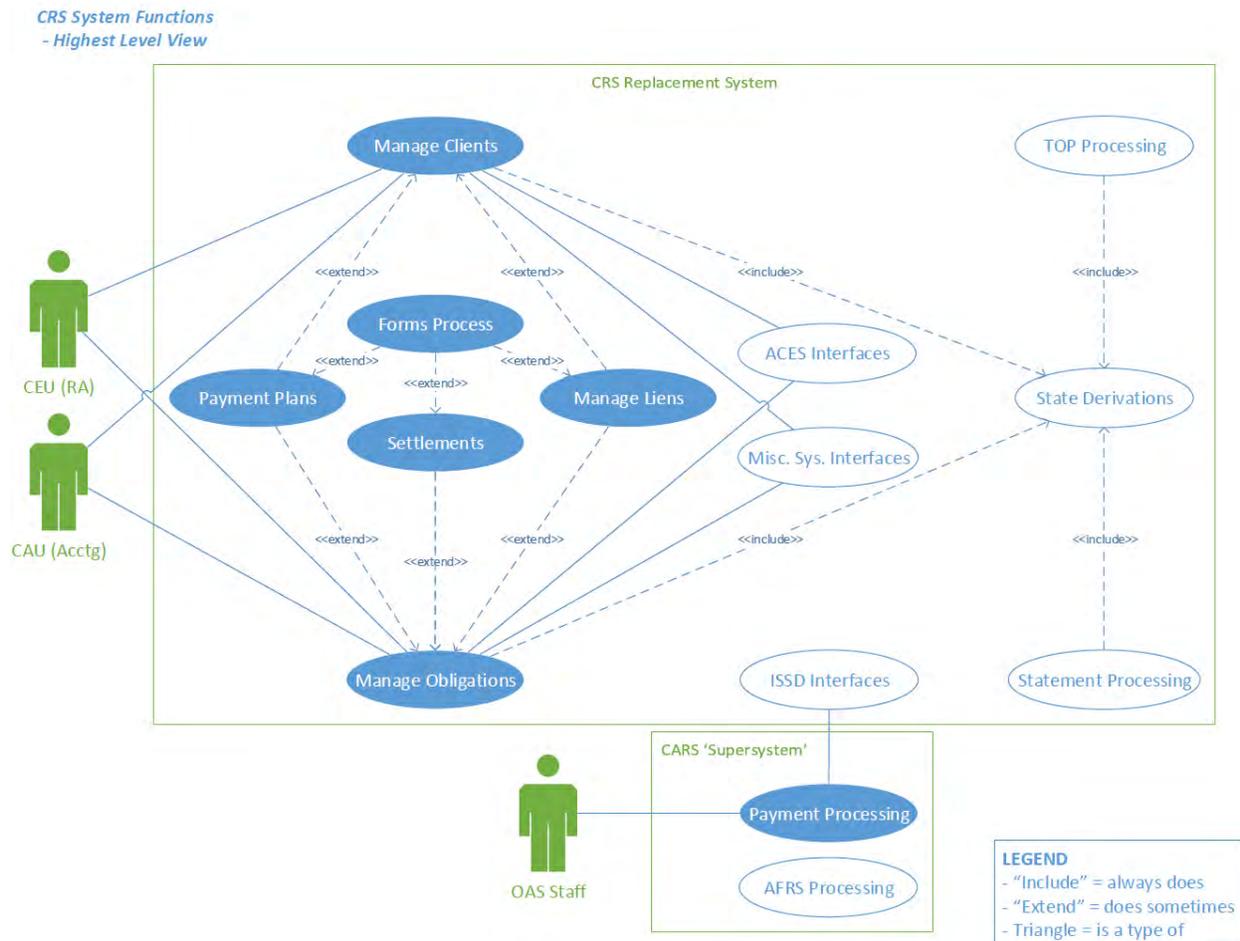
- New, hoped-for interfaces are included to show their relationship to business functions. Existing interfaces are also shown, except for those that are expected to be retired because they are no longer used, will be unnecessary in a replacement (for example due to enhanced reporting capability), or are duplicates.
- Abstract use cases for “state derivation” provide a new, formalized conception of state-relationships that allows a clear, explicit breakdown of the business logic driving collections and related processes.
- Cross-system processes & dependencies that are expected to stay the same in the initial implementation are reflected as such (e.g. “Payment Processing”). Those that are expected to change reflect the future vision (e.g. “Forms”).

## 33. Use Case: CRS Top-Level Functions

### 33.1. Attributes

<b>Title</b>	CRS Top-Level Functions
<b>Primary Actor(s)</b>	CEU (RA), CAU (Acctg)
<b>Scope</b>	CRS-Top-Level Functions provides a starting point to dive into any functional aspect of the system.

### 33.2. Diagram



### 33.3. Narrative

The Top-Level Functions diagram provides the starting point to dive into any aspect of the system, including both user-accessed functions through user interfaces, as well as system-initiated functions for data interface processing and state derivations.

This diagram also shows the relationship between the “CARS ‘Supersystem’” and CRS, for Payment Processing and AFRS processing. More detailed views of these functional relationships will need to be elaborated for implementation, at the system level.

### **33.4. Supporting Detail**

N/A

## 34. Use Case: Manage Client

### 34.1. Attributes

<b>Title</b>	Manage Client
<b>Primary Actor(s)</b>	CEU (RA), CAU (Acctg)
<b>Scope</b>	The scope of Manage Client is organized around data entry functions related to the Client, for both Accountants and RAs.

### 34.2. Diagram

CRS Manual Data Functions  
- Manage Clients

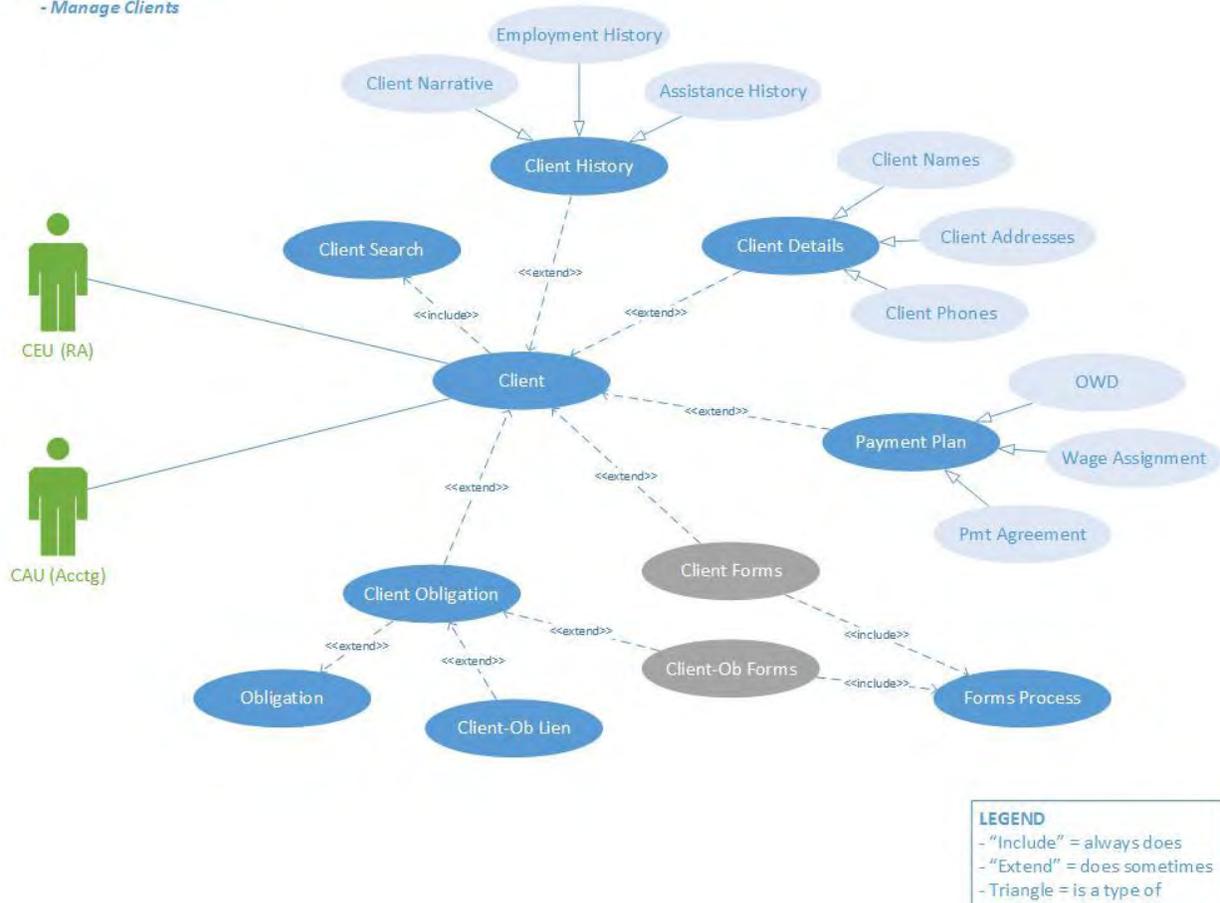


Figure 15 - Manage Clients Use Case Diagram

### 34.3. Narrative

Manage Client is conceived as a set of "data entry" functions, allowing both RAs and Accountants to view and update information about Clients, and access related information around the person's history, their demographics, and their Obligations.

New data structures for Client History (Narrative, Employment History, and Assistance History), Client Details (Names, Addresses, Phone #s), and Payment Plans (OWDs, Wage Assignments, Payment Agreements) can be viewed and updated from the context of a given Client.

Manage Client is a common function that allows all types of CRS users to locate a person based on limited information about that person (SSN, or a name, an address, etc.). It is also one of two ways to access Client-Obligation information (the other being from the Obligation point of view).

This core function is very similar to existing CRS in terms of users navigating the data relationships around Clients, with the exception of the new business data structures introduced to support basic Client information.

#### ***34.4. Supporting Detail***

N/A

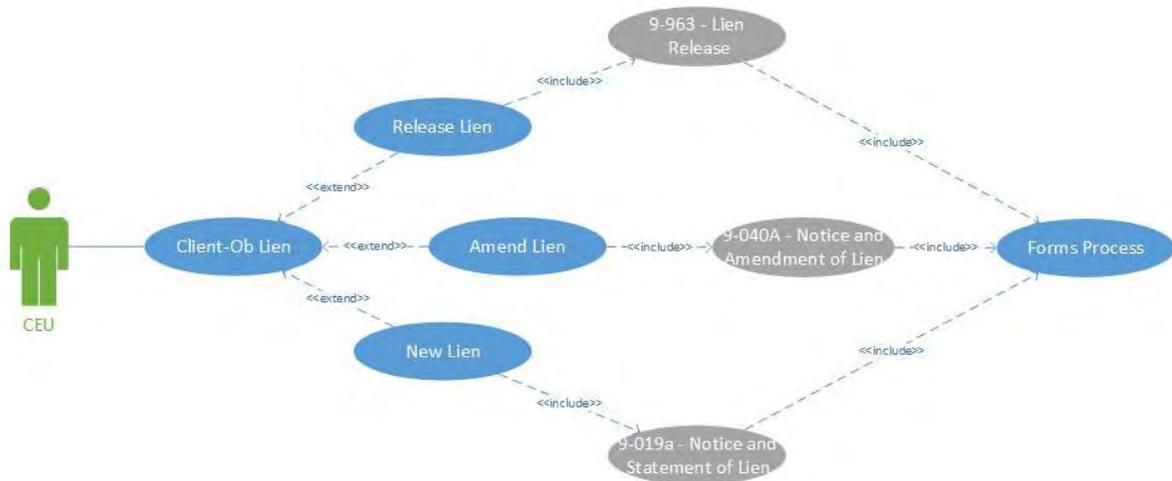
## 35. Use Case: Manage Liens

### 35.1. Attributes

<b>Title</b>	Manage Liens
<b>Primary Actor(s)</b>	CEU
<b>Scope</b>	Manage Liens covers the functions for Creating, Amending, and Releasing Liens, including related Forms for each.

### 35.2. Diagram

CRS Manual Data Functions  
- Liens



**LEGEND**  
 - "Include" = always does  
 - "Extend" = does sometimes  
 - Triangle = is a type of

Figure 16 - Manage Liens Use Case Diagram

### 35.3. Narrative

Liens are specific to a single Client and one or more of that Client's Obligations. Lien data (status, etc.) is user-managed.

User initiation of New, Amend, or Release Lien prompts the user for the appropriate data and initiates the forms process for the appropriate form.

Liens and Lien status are conceived as being entirely user-managed, as there are many external factors that may affect an RA's decision around a Lien.

### ***35.4. Supporting Detail***

#### **35.4.1. State Transitions**

See Figure 12 in section 7.3.2.3 of the Business System Requirements for more detail regarding the Lien State Transitions.

### 35.4.2. Activity Diagram

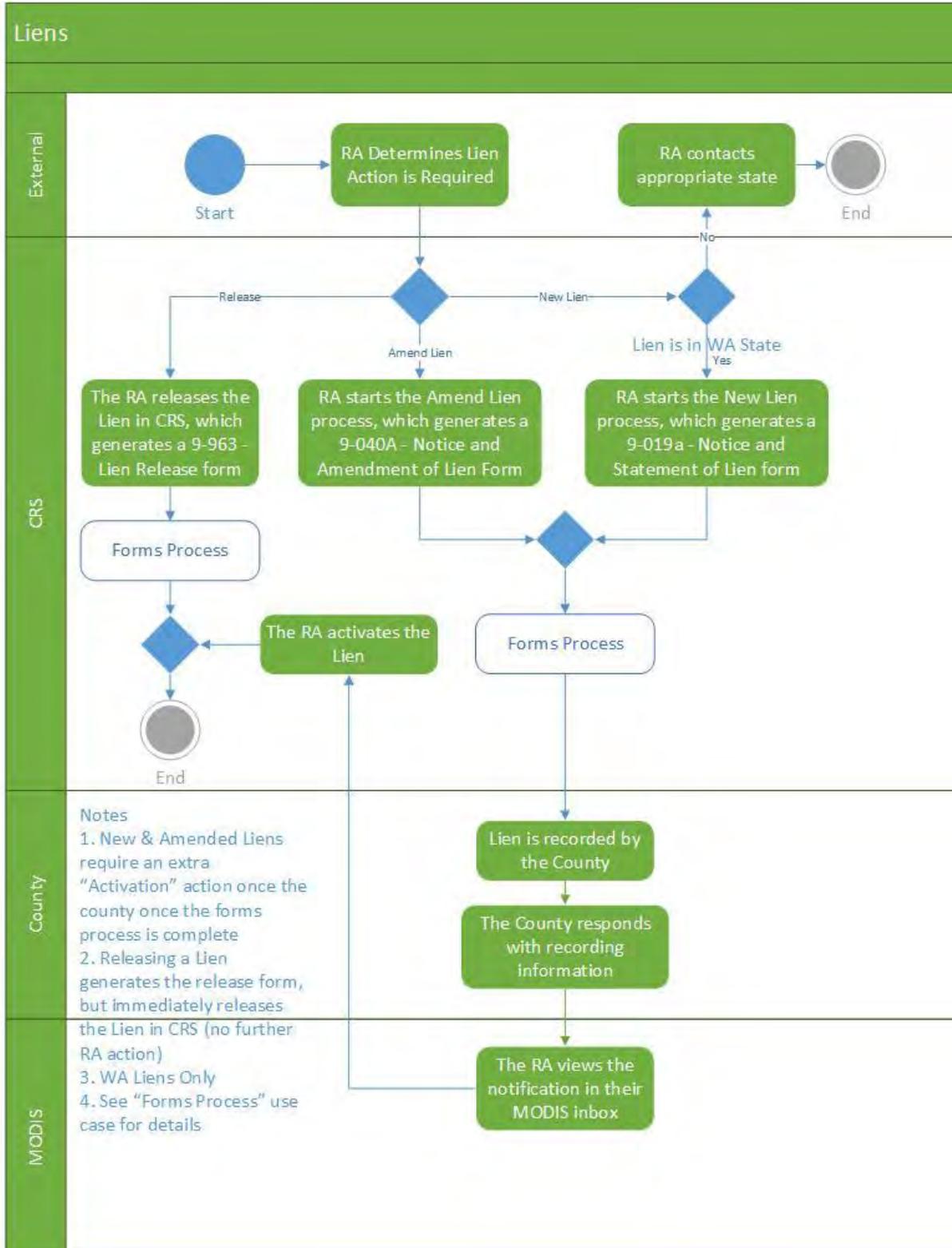


Figure 17 - Liens Activity Diagram



- “Manual ACES” is a manual data entry process for accountants
- “Manual SSPS” is a manual data entry process for accountants (note that a future SSPS data feed has also been anticipated, as shown in the “Misc. System Interfaces” use case diagram)

The “Add Transaction” use case shows that there are many different types of Transaction, and that they all receive AFRS Coding. This includes the new concept of recording the expenditures that give rise to Obligations as “Expenditure” transactions as part of the “Add Obligation” case.

“Add/Edit Batch” brings forward the existing system’s concept of manual entry of Transactions and Obligations through a “batch” interface, to allow for double-checking of work as part of the accounting process. Note that the ability to directly enter an Obligation or Transaction would be new and whether it is desirable remains an open question. The answer will depend largely on the fundamental design of the replacement system.

Manage Obligation is a common function that allows all types of CRS users to locate an Obligation based on limited information about related clients (SSN, or a name, an address, etc.), or the Obligation itself. It is also one of two ways to access Client-Obligation information (the other being from the Client point of view).

This core function is very similar to existing CRS in terms of users navigating the data relationships around Obligations, with the exception of the new functions around AFRS coding, which are now a core part of all Transaction entry.

### **36.4. Supporting Detail**

N/A

## 37. Use Case: Settlements

### 37.1. Attributes

<b>Title</b>	Settlements
<b>Primary Actor(s)</b>	CEU, CAU, CRS (Sys)
<b>Scope</b>	The Settlements use case shows how an RA settles a debt (reducing the Obligation balance to 0, either immediately or gradually), which includes an approval process and may include a Payment Agreement and related forms depending on the type of and reason for settlement. System-initiated write-offs are also shown.

### 37.2. Diagram

CRS Workflow Functions  
- Settlements

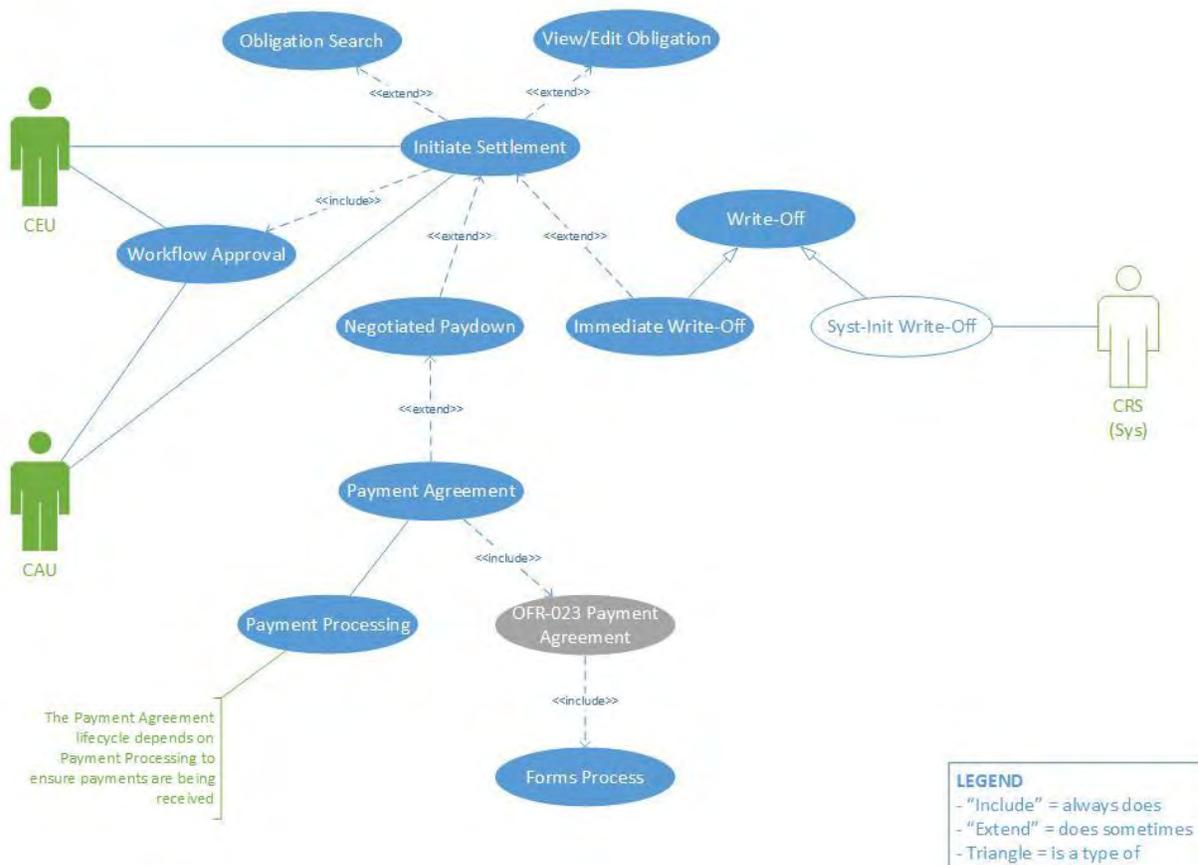


Figure 19 – Settlements Use Case Diagram

### 37.3. Narrative

There are several different Settlement processes.

- In System-Initiated “Write-Offs”, the system periodically scans for Obligations that meet certain criteria (for example if the balance has fallen below a certain threshold for a certain period of time), and creates a write-off transaction to reduce the balance to 0.
- In “Immediate Write-Offs”, the user determines through external means that the debt cannot (or should not) and will not be collected. The settlement process is initiated. The \$ amount threshold for user-initiated write-offs varies depending on the authority of the user’s organizational role. This threshold is expected to be a configurable parameter.
- In “Negotiated Paydowns”, the user basically makes a deal with the Client to pay the debt over time, which is done by establishing a Payment Agreement (see also “Payment Plans” use case in this document) so the system can track their payments according to the plan. A Payment Agreement form is also generated and sent to the Client for signature.

When a Settlement is initiated by a user, it triggers a workflow process for approval. In some cases the workflow may begin and end with the user, if they are authorized to complete the transaction. In other cases, more senior approval may be required to approve the deal or write-off.

#### **37.4. Supporting Detail**

N/A



In addition to triggering form-related processes, the user is expected to be able to manage and edit certain details about Payment Plans after they have been created, including Status and related data.

## **38.4. Supporting Detail**

### **38.4.1. State Transitions**

See Figure 9 in section 7.3.1.1.3 of the Business System Requirements for more detail regarding the OWD State Transitions.

See Figure 10 in section 7.3.1.2.3 of the Business System Requirements for more detail regarding the WA State Transitions.

See Figure 11 in section 7.3.1.3.3 of the Business System Requirements for more detail regarding the Direct Pay State Transitions.



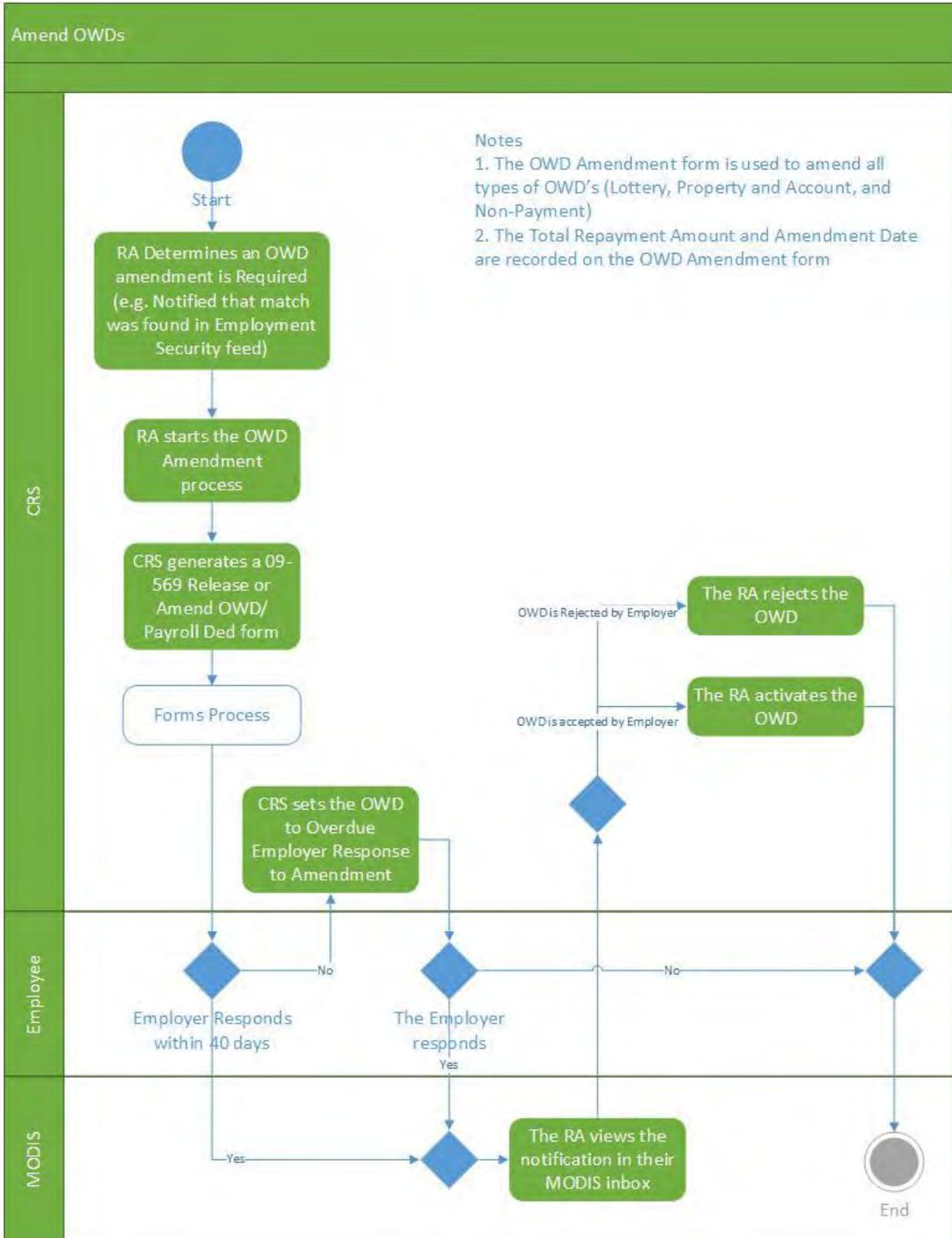


Figure 22 - Amend OWD Activity Diagram

### 38.4.2.2. Wage Assignment

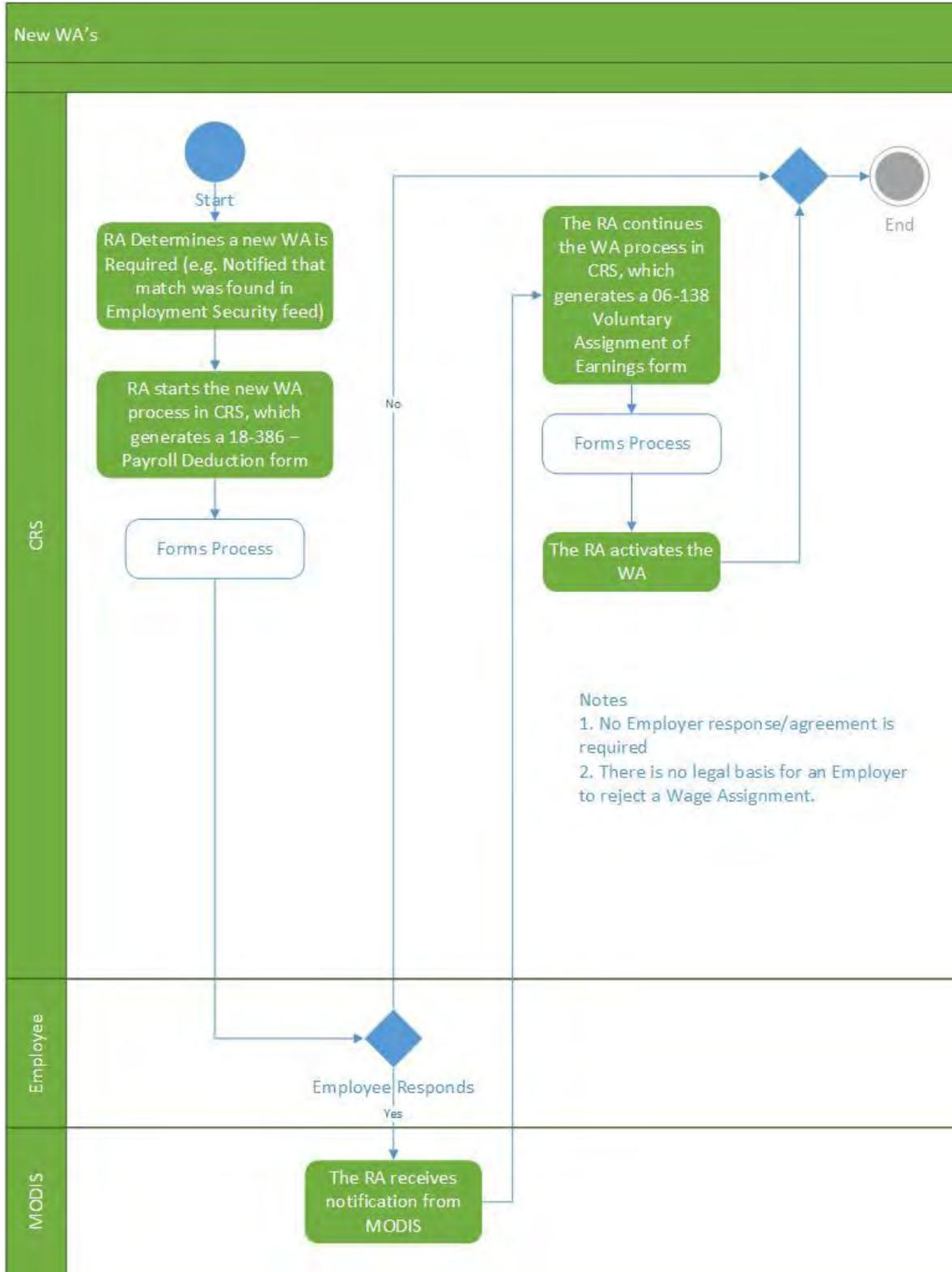


Figure 23 - Wage Assignment Activity Diagram

### 38.4.2.3. Direct Pay

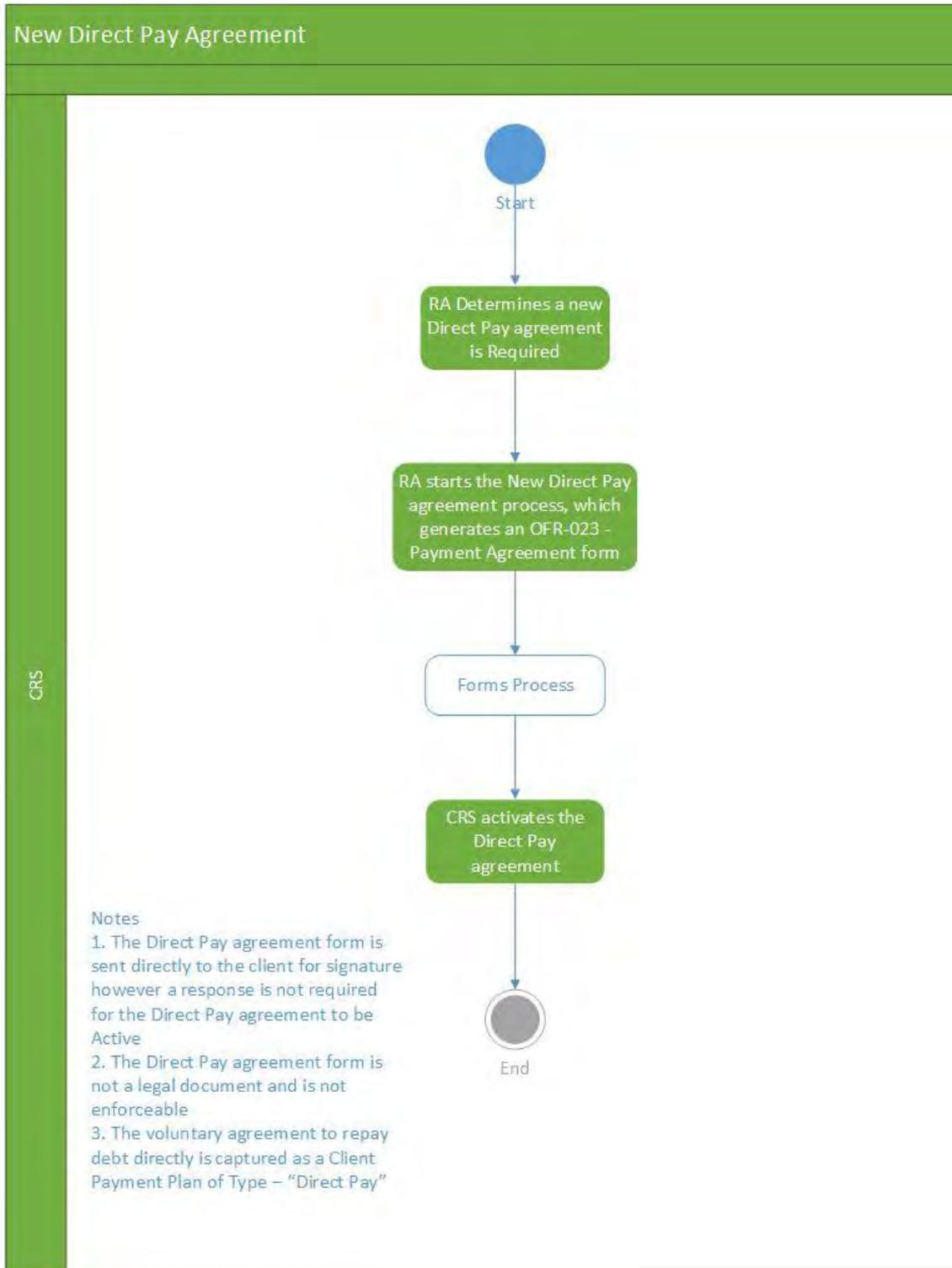


Figure 24 - Direct Pay Activity Diagram

## 39. Use Case: Forms Process

### 39.1. Attributes

<b>Title</b>	Forms Process
<b>Primary Actor(s)</b>	CEU, CAU, OSU, OB2/ISSD, CRS (Sys), WALZ, MODIS
<b>Scope</b>	Shows actors, functions, related systems, and interfaces required to complete the Forms process.

### 39.2. Diagram

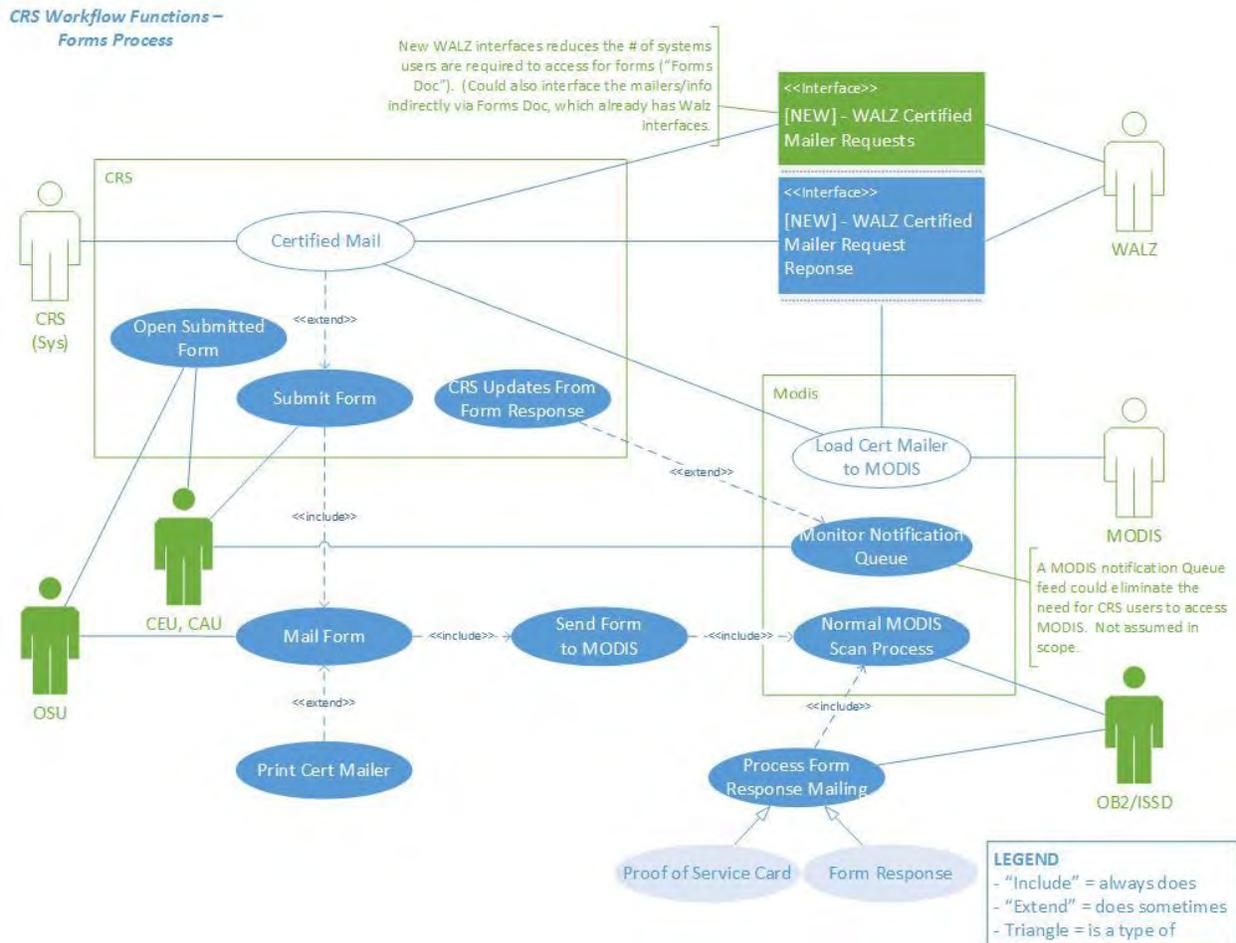


Figure 25 - Forms Process Use Case Diagram

### 39.3. Narrative

The form generation process is triggered in CRS by users initiating related functions. This use case shows the basic events and flow of forms and form information across sub-systems in that process.

The Activity Diagram below sheds further light on the decision logic and rationale for the flow described in the diagram above.

This process simplifies the current process, which includes an extra sub-system (Forms Doc), and several manual steps for mailing queues.

### **39.4. Supporting Detail**

#### **39.4.1. State Transitions**

N/A

**39.4.2. Activity Diagram**

**39.4.2.1. *As-Is Process***

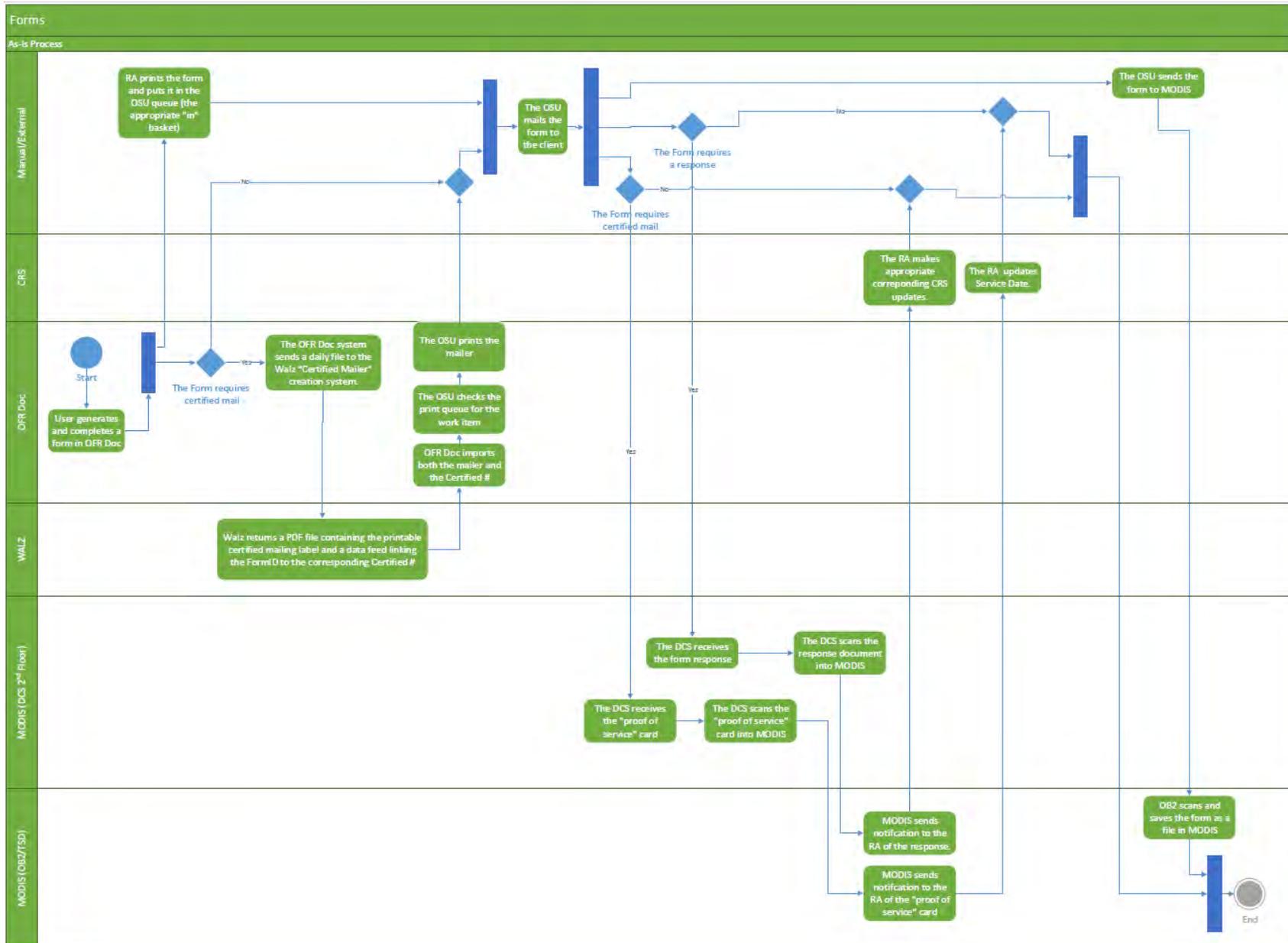


Figure 26 - Forms As-Is Activity Diagram

**39.4.2.2. To-Be Process**

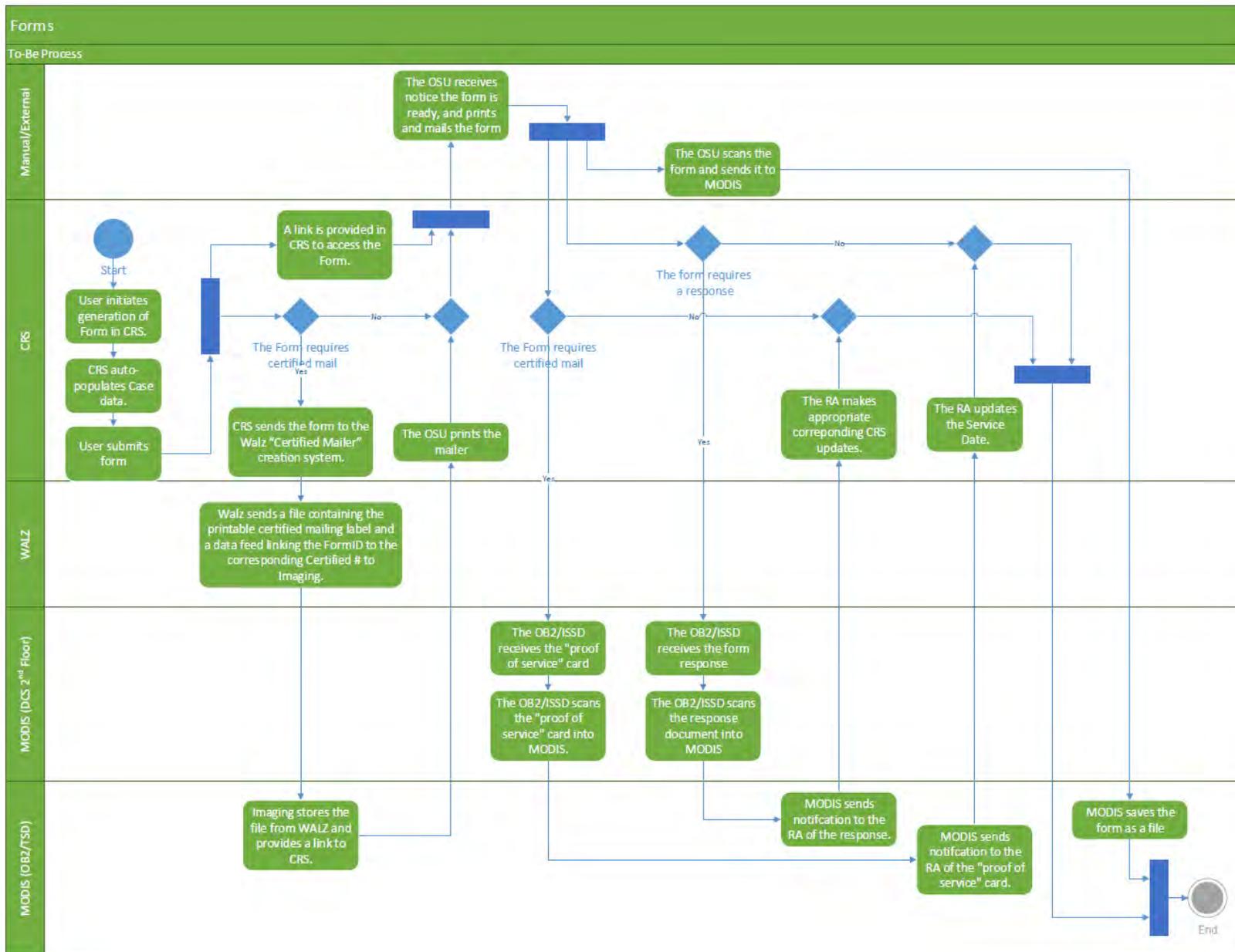


Figure 27 - Forms To-Be Activity Diagram

## 40. Use Case: Payment Processing

### 40.1. Attributes

<b>Title</b>	Payment Processing
<b>Primary Actor(s)</b>	OAS, DCS 2 <sup>nd</sup> Floor, CRS System
<b>Scope</b>	Payment Processing shows how Client payments arriving through the postal service are processed and make their way into the CRS to be applied to an Obligation.

### 40.2. Diagram

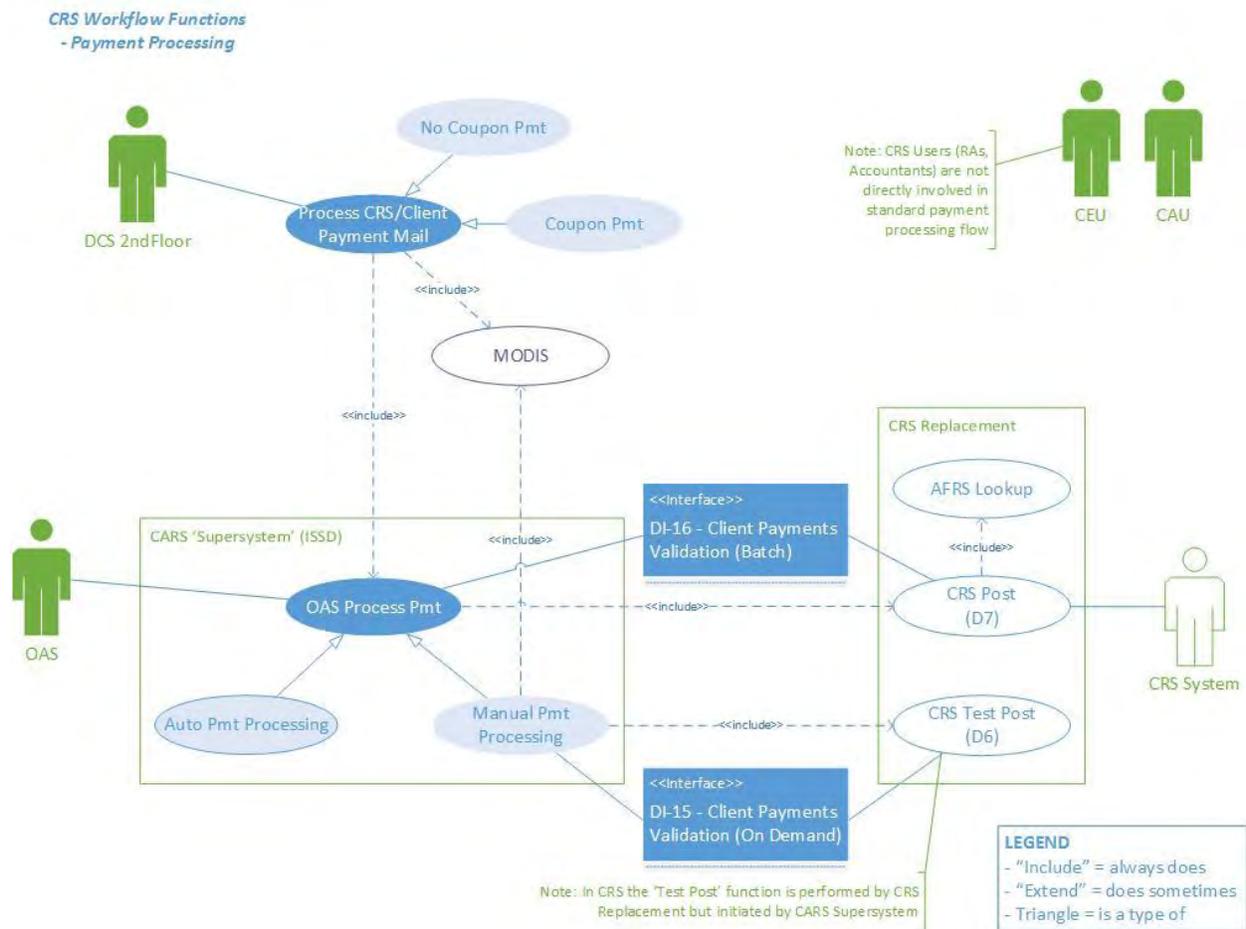


Figure 28 - Payment Processing Use Case Diagram

### 40.3. Narrative

CRS Payment Processing is among the more complex functions in CRS because it involves many actors and subsystems.

Mail is processed by "DCS 2<sup>nd</sup> Floor". All Client payments mailings are opened, identified as such, scanned into the imaging system (MODIS), and sent to OAS for processing.

Some client payments (about 60%) include a ‘coupon’ (the bottom portion of a statement that was mailed to them) that includes a barcode allowing an automated scanner to read the code and process the payment automatically, applying it to the correct Obligation.

Client payments that do not include a ‘coupon’ (the remaining 40%) must be processed by hand. OAS uses a variety of tools to process client payments by hand (CRT, CAT, PC Cash). Those tools depend on periodic snapshots of CRS’ client & obligation data (see “ISSD Interfaces” use case in this document) to allow OAS to search for Clients that match information included in the client payment (envelope return addresses, check information, etc., visible in MODIS).

OAS relies on a pair of CRS functions to validate that Clients & Obligations chosen by OAS to apply payments to still exist, and are not duplicates. These exist today as “D6” (which does all the validation but does not post) and “D7” (which validates and posts).

In the CRS Replacement system, it is expected that those two functions must persist in some form, and it is assumed that whatever form they take on the CRS side, they must continue to work the same way on the OAS side. The OAS payment processing tools are part of a larger, integrated suite of tools that are out of scope for update as part of the CRS replacement at this time.

Today, when transactions are posted, CRS derives AFRS coding from an internal lookup table and returns the code to OAS so they can pass it back to AFRS. However, that internal lookup table is not kept up to date and has created issues in the past. The CRS replacement system AFRS coding derivation function must share derivation information with the CARS super-system by rule (see “AFRS Coding” in the Business System Requirements), so this issue is expected to be resolved. Moreover, the derivation logic is expected to be stronger, because AFRS codes will be stored in CRS for the Expenditures that gave rise to each Obligation.

#### **40.4. Supporting Detail**

N/A

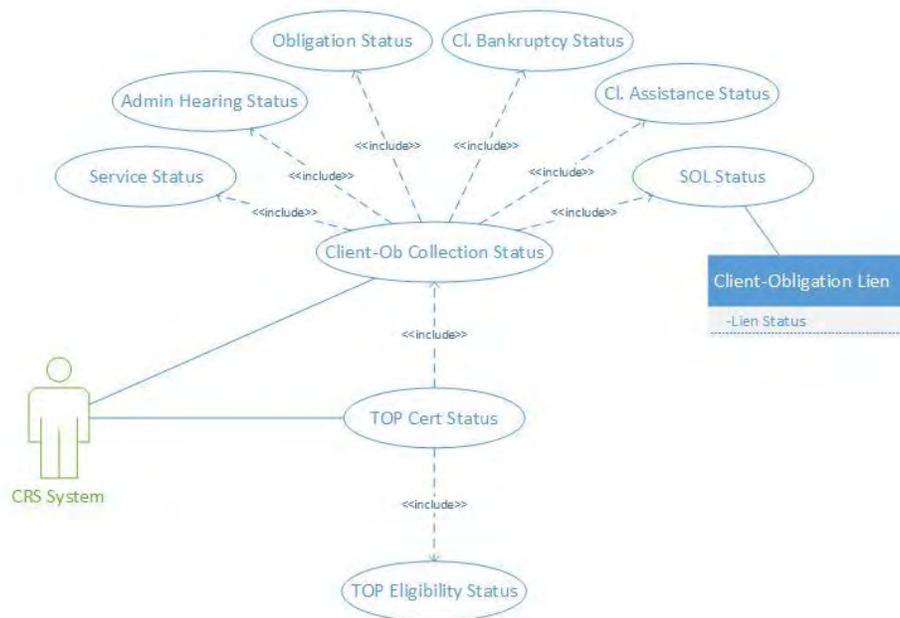
## 41. Use Case: State Derivations

### 41.1. Attributes

<b>Title</b>	State Derivations
<b>Primary Actor(s)</b>	CRS System
<b>Scope</b>	Describes the relationships among the system-derived Statuses that drive the business logic for collectability, as defined in detail in the “Business System Requirements” document.

### 41.2. Diagram

CRS System Functions  
- State Derivations



**LEGEND**  
- "Include" = always does  
- "Extend" = does sometimes  
- Triangle = is a type of

Figure 29 - State Derivations Use Case Diagram

### 41.3. Narrative

This basic use case shows the relationships among the system-derived statuses that drive the business logic for collectability, as defined in detail in the “Business System Requirements” document.

Client-Obligation Collection Status is the primary driver for collectability – essentially a rollup of the “7-points” that RAs know by heart and use multiple systems and external records to keep track of for a given client. It “includes” each of the Statuses above it (Service, Admin Hearing, etc.), because they are always evaluated to derive Collection status.

Note that TOP Certification Status is a function not only of Client Obligation Status (and by extension all of the Statuses it includes), but also TOP Eligibility Status, which is a special set of federal rules based on Type, Reason, Age, Balance, among other attributes (as defined in the Business System Requirements for “TOP Eligibility Status”).

#### **41.4. Supporting Detail**

##### **41.4.1. State Transitions**

See Figure 2 in section 7.2.2.2 of the Business System Requirements for more details regarding Client States.

See Figure 3 in section 7.2.3 of the Business System Requirements for more details regarding Obligation States.

See Figure 4 in section 7.2.4 of the Business System Requirements for more details regarding Client-Obligation States.

See Figure 6 in section 7.2.4.3.3 of the Business System Requirements for more details regarding Statute of Limitation Status.

##### **41.4.2. Activity Diagram**

See Figure 1 in section 7.2.1.1 of the Business System Requirements for more details regarding Client-Obligation Status.

See Figure 5 in section 7.2.4.3.1 of the Business System Requirements for more details regarding Statute of Limitation States.

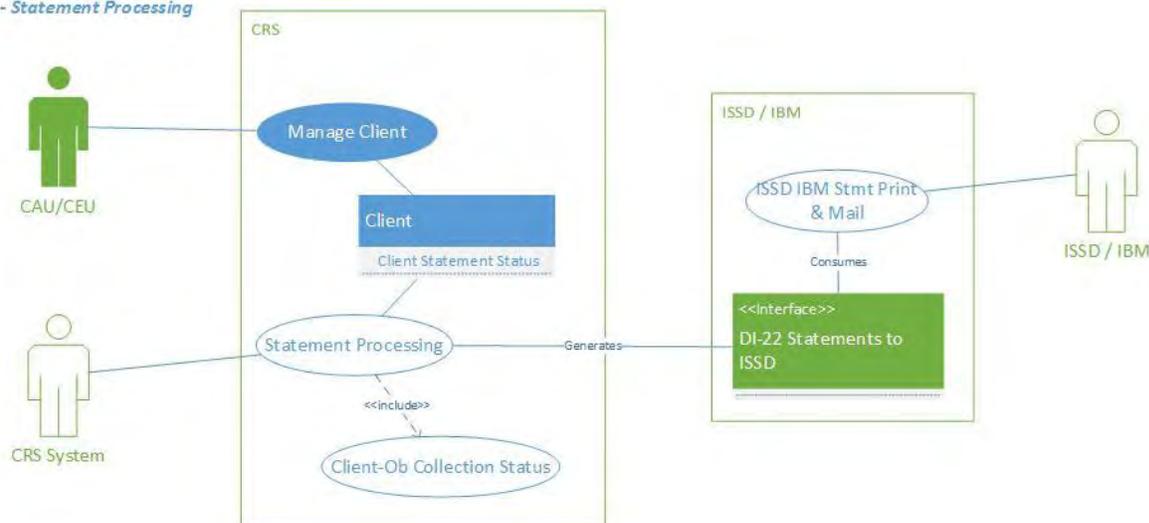
## 42. Use Case: Statement Processing

### 42.1. Attributes

<b>Title</b>	Statement Processing
<b>Primary Actor(s)</b>	CAU/CEU, CRS System, ISSD/IBM
<b>Scope</b>	CRS statement processing logic and its interaction with ISSD.

### 42.2. Diagram

CRS System Functions  
- Statement Processing



Notes

1. Statement files are prepared in CRS
2. CRS moves the statement files to IBM using a data interface
3. ISSD prints and sends the statement file from the IBM system

LEGEND
- "Include" = always does
- "Extend" = does sometimes
- Triangle = is a type of

Figure 30 - Statement Processing Use Case Diagram

### 42.3. Narrative

CRS statement processing depends on logic for selecting Clients to receive statements based on the new Client attribute "Client Statement Status," and other configurable parameters. Client Obligation Status is also considered (so as to avoid sending statements to Clients who are not collectible). See "Statements" in the BSR for details on this logic.

Once Clients are selected, CRS generates an outbound 'interface' file containing statement details for each selected Client. The interface is consumed by ISSD on their IBM system to format, print, and mail the statements in the appropriate language based on a language code that is also sent. (See DI-22 in the "Data Interfaces Specification" document.)

#### **42.4. Supporting Detail**

##### **42.4.1. State Transitions**

N/A

##### **42.4.2. Activity Diagram**

See Figure 13 in section 7.3.3.1.2 of the Business System Requirements for more details regarding Statement Delivery.

## 43. Use Case: TOP Processing

### 43.1. Attributes

<b>Title</b>	TOP Processing
<b>Primary Actor(s)</b>	CRS System, FNS
<b>Scope</b>	Logic and data flow for TOP processing (to replace TOP CRS system)

### 43.2. Diagram

CRS System Functions  
- TOP Processing

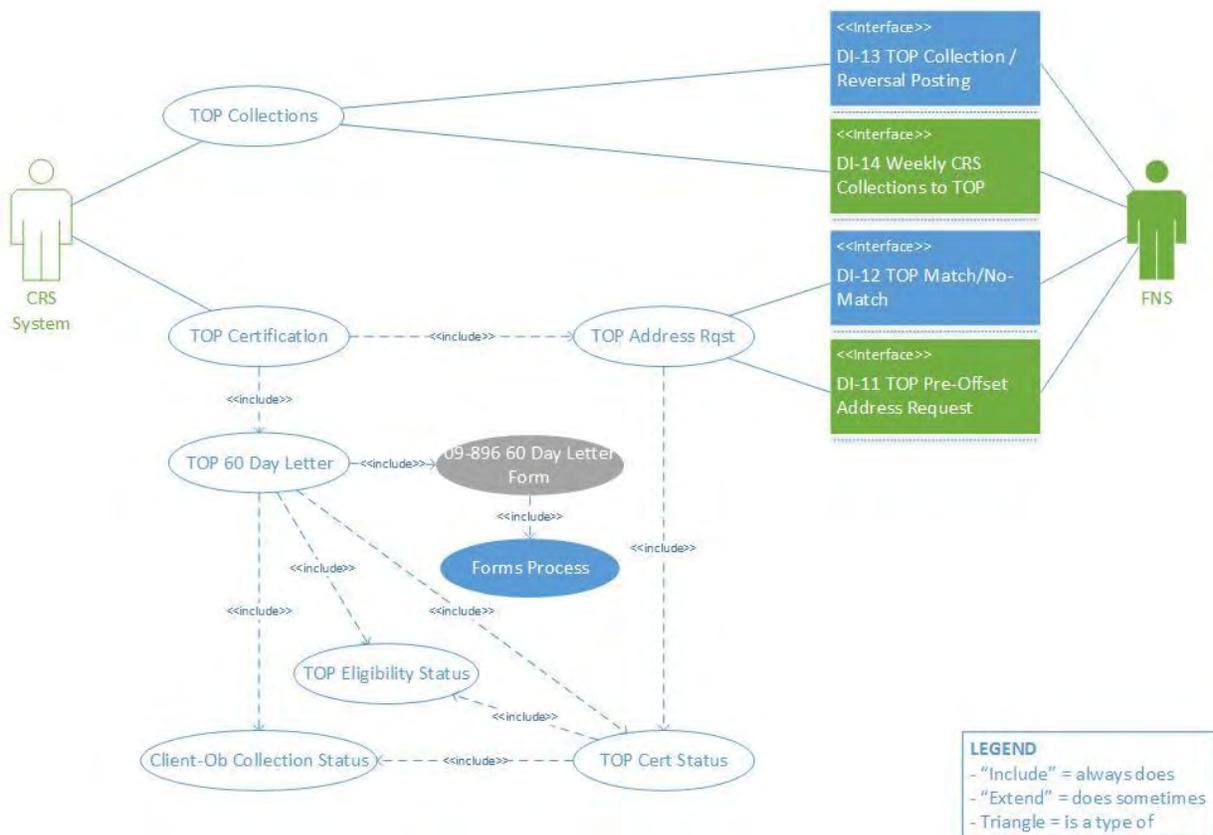


Figure 31 - TOP Processing Use Case Diagram

### 43.3. Narrative

This diagram provides a top-down view of the flow, logic, and relationships defined in detail in the BSR for TOP. Note that all of the processing here is automated. Users are involved in adding and editing certain Client & Obligation attributes, but that data is what drives automated derivation of the statuses represented here. Please see the Business System Requirements for a complete elaboration.

## **43.4. Supporting Detail**

### **43.4.1. State Transitions**

See Figure 7 in section 7.2.4.4.1 of the Business System Requirements for more details regarding TOP certification Status.

### **43.4.2. Activity Diagram**

See Figure 8 in section 7.2.4.4.2 of the Business System Requirements for more details regarding TOP Eligibility Status.

## 44. Use Case: ACES Interfaces

### 44.1. Attributes

<b>Title</b>	ACES Interfaces
<b>Primary Actor(s)</b>	CRS Replacement System, ACES
<b>Scope</b>	Itemized ACES interfaces and the business functions they support.

### 44.2. Diagram

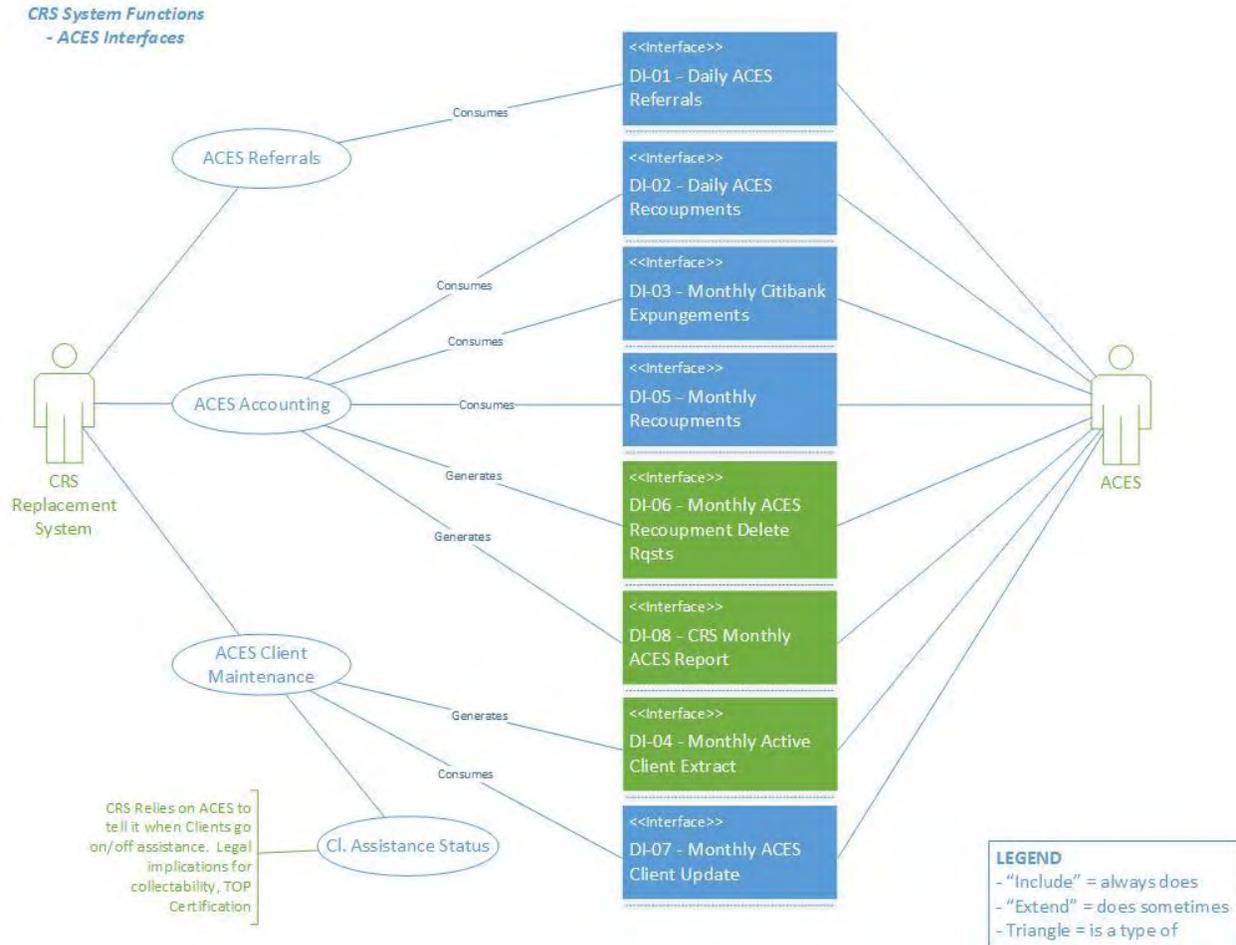


Figure 32 - ACES Interfaces Use Case Diagram

### 44.3. Narrative

Itemized ACES interfaces and the business functions they support.

Among the key interfaces is DI-07 – Monthly ACES Client Update, which creates data that CL Assistance Status depends on. CL-Assistance Status is a driver for Client-Obligation Collection Status, which affects many core business functions, including and especially the automated TOP Processing logic. (Note that this interface does not currently function the way TOP CRS logic expects it to, resulting in unexpected behaviors in the TOP interfaces.)

#### **44.4. Supporting Detail**

N/A

## 45. Use Case: ISSD Interfaces

### 45.1. Attributes

<b>Title</b>	ISSD Interfaces
<b>Primary Actor(s)</b>	CRS System, CARS Supersystem
<b>Scope</b>	The periodic CRS data snapshot that ISSD receives to support the OAS payment processing tools (CAT, CRT, PC Cash), and potentially other portions of the CARS supersystem.

### 45.2. Diagram

CRS System Functions  
- ISSD Interfaces

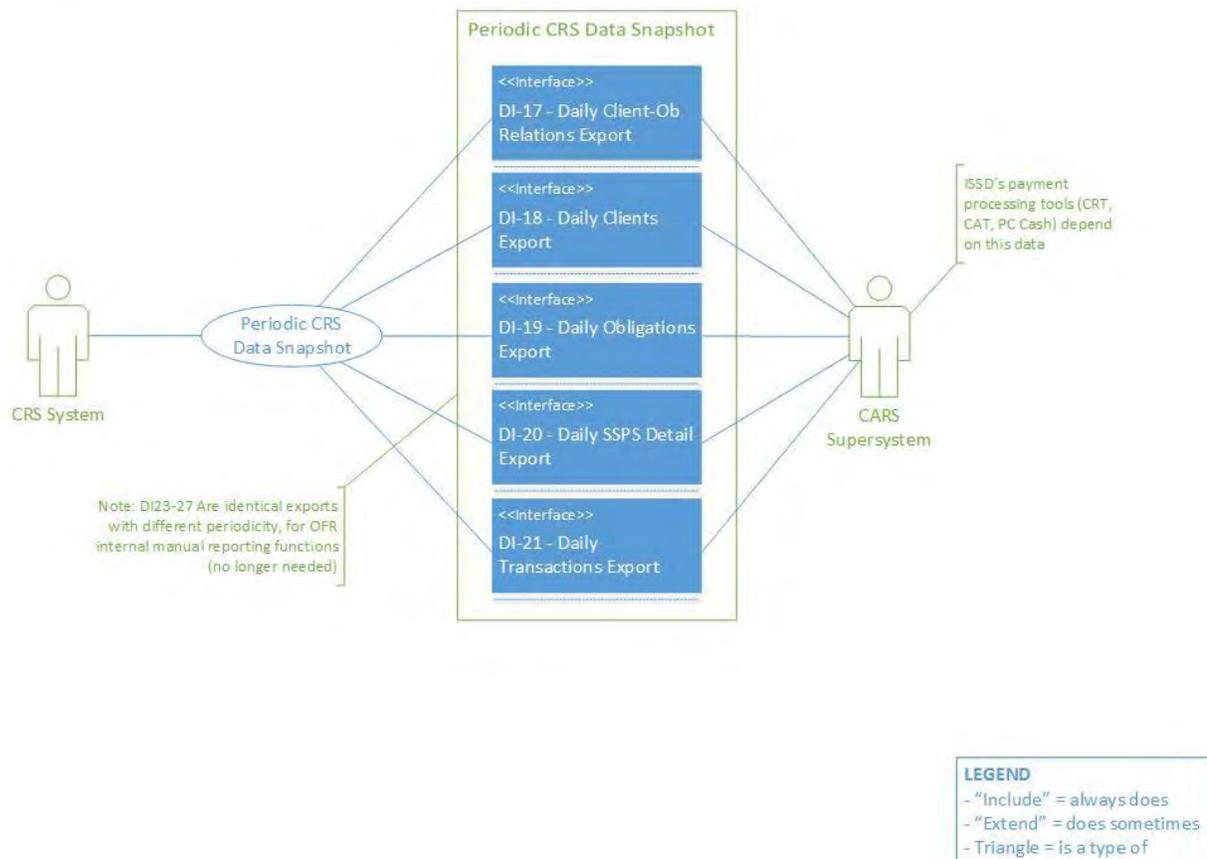


Figure 33 - ISSD Interfaces Use Case Diagram

### 45.3. Narrative

This data snapshot, which currently takes the form of 5 separate "interfaces", is how external systems today get data out of the CRS mainframe and into relational databases that are easier to work with. ISSD has a system dependency on this data. It is expected that dependency will

continue in the CRS replacement. It is hoped that the replacement system (and ISSD) can support evolution of these interfaces into a more reusable 'service' layer.

#### ***45.4. Supporting Detail***

N/A

## 46. Use Case: Misc. System Interfaces

### 46.1. Attributes

<b>Title</b>	Miscellaneous System Interfaces
<b>Primary Actor(s)</b>	CRS System, SSPS, DCS SEMS, CARS
<b>Scope</b>	Other misc. data interfaces, including new non-essential interfaces, and the business functions they support.

### 46.2. Diagram

CRS System Functions  
- Misc System Interfaces

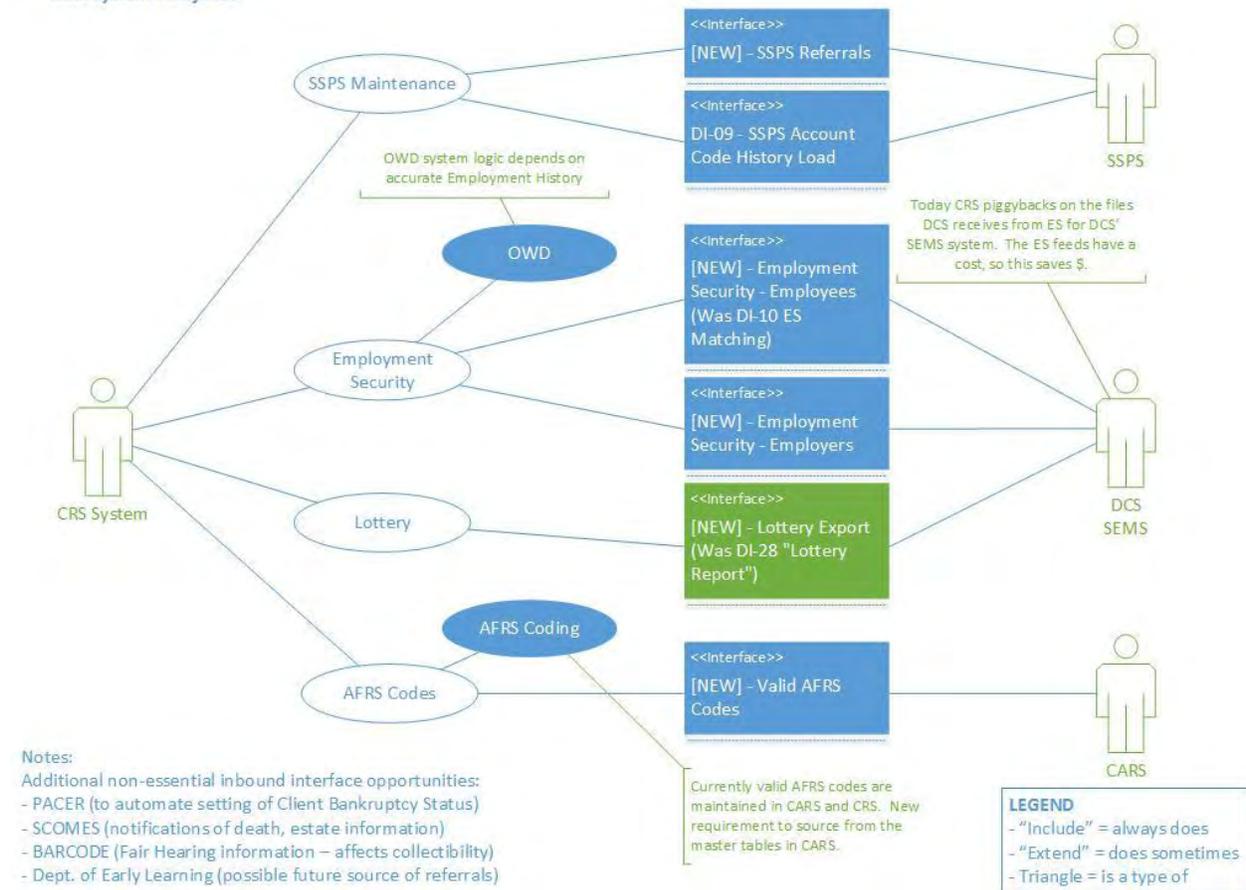


Figure 34 - Misc. System Interfaces Use Case Diagram

### 46.3. Narrative

See notes in diagram above.

### 46.4. Supporting Detail

N/A

## 47. Appendix A – Use Case Diagrams in PDF Form

The following attachment contains all of the UC Diagrams in the above sections, in a single standalone document, which can be navigated for closer inspection, enlargement, printing, zooming, etc.



CRS Use Case  
Diagrams.pdf