

L. FCR OPTIONS FOR DATA RECEIVED

This appendix includes the forms and the requirements for the options provided by the FCR to the states to assist in FCR-to-SCR processing.

All forms or requests in this Appendix should be mailed to the address below:

Joan O' Connor
Department of Health and Human Services
Administration for Children and Families
Office of Child Support Enforcement
Federal Parent Locator Service, 2nd floor
370 L'Enfant Promenade, S.W.
Washington, DC 20447

Forms or requests may also be faxed to Joan O' Connor at 202-401-5553 or 202-401-5647.

A description of each option and its potential uses and benefits for states is presented in Chart L-1, which follows. After Chart L-1 there is a further description of each option and a sample of the form or details of the letter needed to request it.

CHART L-1: FCR OPTIONS AND BENEFITS

| Section and Title | Explanation of Option | Benefits and Recommended Use |
|----------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>L.1 FCR Acknowledgement Suppression and FCR-to-FCR Proactive Match Consolidation of Associated Member IDs</p> | <p>Option to suppress FCR input transaction Acknowledgement Records – State staff may set parameters based on their unique requirements and needs. Provides the ability to restrict some of the data returned by the FCR.</p> <p>Proactive Match Consolidation – Provides the state the option to suppress multiple FCR-to-FCR Proactive Match Records for the same person in the same case. Enables the state to restrict some of the data returned by the FCR.</p> | <p><i>Suppression</i> – Advantageous if state staff establishes a logical default for records not returned. However, a logical default cannot be assumed if both accepted and pending acknowledgement records are suppressed. Suppression of both accepted and pending acknowledgements will not allow states to distinguish between records pending on the FCR from those that have been accepted. Reference TAG Section 7.4, <i>How to Work With Response Records</i>.</p> <p><i>Consolidation</i> – Beneficial to states because it reduces the amount of redundant data returned to states by the FCR. States use this process to consolidate the information returned for a particular case and ease the programming burden so that there is less chance of storing duplicate information.</p> |
| <p>L.2 FCR Data Inconsistency File</p> | <p>Provides information on specific data inconsistencies for all active participants on IV-D cases with verified SSNs. Participants with an FV Indicator are excluded. This process allows corrections to be made to improve SCR and FCR data quality.</p> | <p>Beneficial in identifying data anomalies in person records that allow states to correct participant data within their system. The data anomalies identified in the FCR Data Inconsistency file include: person is identified as a PF but his case record indicates an order exists; person is identified as an adult member of a case but the person's age is less than 11 years old; person's sex code is neither 'F' nor 'M', or person is identified as a PF but sex code is 'F'. This file is sent to states on a quarterly basis. Reference TAG Section 7.3.3, <i>How the FCR can Help with Case Clean Up</i>.</p> |
| <p>L.3 FCR Reconciliation File</p> | <p>Provides all case and person data stored on the FCR for a state. Enables state staff to verify their case and person information stored on the FCR.</p> | <p>Recommended that state staff request an FCR Reconciliation File once a year to facilitate synchronization between the SCR and FCR. This file returns case and person data stored on the FCR that may be compared to the SCR in an effort to stay in sync with the FCR. Additionally, the FCR Reconciliation file is helpful for states that have not regularly transmitted data to the FCR. The</p> |

CHART L-1: FCR OPTIONS AND BENEFITS

| Section and Title | Explanation of Option | Benefits and Recommended Use |
|---------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | | Reconciliation file is returned to states upon request. Reference TAG Section 7.3.6, <i>How to Stay Synchronized with the FCR</i> . |
| L.4 NDNH-to-FCR Proactive Match Return Same State Data | Provides the state the option to receive through the Proactive Match process all appropriate NDNH records, including those records the state sent to the NDNH. States may request all W-4, QW and UI records or any combination of the three record types. | Developed for those states that do not receive new hire data on a regular basis from their SDNH. This process allows states to receive W-4, QW and UI information in a more timely manner, which increases the possibility of locating an NCP and initiating income withholding orders more quickly. |
| L.5 NDNH-to-FCR Proactive Match Return Bad Address Data | Provides the option to receive incorrect addresses and the Address Scrubbing Code on NDNH Proactive Match responses. Some states feel the address is still useful, even though it failed address scrubbing. | Helpful as a last resort for address data. Many states expressed the need to receive the information maintained on the NDNH even if it is incomplete because it may result in a Locate lead. State systems should allow for the address scrubbing code so that caseworkers can see that there may be a potential problem with the address. |
| L.6 IRS-1099 Locate | Provides tax return information from the IRS. States may find this information useful in their efforts to locate CPs, NCPs and PFs; set the amount of, or modify, a child support obligation; or to enforce a child support obligation. | Useful because it provides income and asset information. Additionally, the source of the asset amount is reported in this record. Project 1099 data responses require that states enter into an agreement with OCSE to obtain this data. For security reasons, Project 1099 data are returned to states in a file separate from all other responses. Many states send Locate Requests to 1099 on a case-by-case basis, once all other Locate sources have been exhausted. States have found that the MSFIDM data provides more current asset information. Reference TAG Section 7.3.2.4, <i>Internal Revenue Service Locate Requests</i> . |

| CHART L-1: FCR OPTIONS AND BENEFITS | | |
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| Section and Title | Explanation of Option | Benefits and Recommended Use |
| L.7 SVES/AWR Locate | State Verification and Exchange System (SVES) data expands the locate function of SSA as an external Locate source by providing states with access to Title II, Title XVI, Prisoner and Annual Wage Reporting information (W-2) | OCSE's daily interface with SVES provides information to states in a more timely manner than the current SSA external Locate interface. Title II and Title XVI records contain address information necessary for locating NCPs. Title II responses contain information regarding disability income and SSA benefits, which can be used to initiate income withholding orders. Title XVI responses include SSI benefits, which cannot be withheld for child support purposes. However, this data may be helpful to determine an order modification in the review and adjustment process. Prisoner data provided by SVES can be helpful in locating NCPs particularly if the NCP is incarcerated in another state. This data can be used to determine an expected date of release, work status, and parole information. Information provided by the W-2 database includes a person's employment and is used by some states as a last resort for income information. Reference TAG Section 7.3.2.6, <i>Social Security Administration Locate Requests</i> . |
| L.8 NDNH 'CS' Locate Return Same State Data | Provides the state the option to have CS-type Locate Requests return NDNH data that their own state submitted. | Used by states as a backup for proactive matching. States may submit NDNH Locate Requests to receive W-4, QW and UI information. Prior to this enhancement, the CS locate request type returned QW records provided by Federal agencies and other states, and IRS and Project 1099 data. Now states may request a CS locate type and receive this same information, in addition to their own state's data. This is helpful for those states that do not store QW and UI information as provided by their State Employment Security Agency (SESA) and for those states that can receive new hire data more quickly from the FPLS than from their SDNH. |

L.1 FCR Acknowledgement Suppression and FCR-To-FCR Proactive Match Consolidation

States can suppress unwanted acknowledgements and consolidate certain duplicate FCR-to-FCR Proactive Match records by submitting the “FCR Output Control Matrix Registration Form”, which follows as Figure L-1.

For Acknowledgements, the FCR generates Acknowledgements of input transactions for every record submitted. While processing FCR records, the system may detect errors or identify abnormal conditions that cause the return of the record to the submitter with error or warning messages.

Section 2.5.2.2, “Filtering Options”, describes the state option to suppress the receipt of the appropriate Acknowledgements under certain conditions by completing the “FCR Output Control Matrix Registration Form” in Figure L-1 and sending it to OCSE. The state may set the established parameters based on its needs. This option provides the ability to restrict some of the data returned by the FCR.

To suppress Acknowledgements for processed FCR records, complete and send the “FCR Output Control Matrix Registration Form”, which follows as Figure L-1, to the address or fax number in Section L.0, “FCR Options for Data Received”.

In Proactive Matching, the FCR-to-FCR Proactive Match Consolidation provides the state the option to suppress multiple FCR-to-FCR Proactive Match Records for the same person in the same case. This enables the state to filter some of the data returned by the FCR.

Section 2.5.2.2, “Filtering Options”, further describes the state filtering options. To suppress multiple FCR-to-FCR Proactive Match Records for the same person in the same case, complete and send the “FCR Output Control Matrix Registration Form”, which follows as Figure L-1, to the address or fax number in Section L.0, “FCR Options for Data Received”. Note that the last selection row of this form is the row that relates to this option.

| Figure L-1: FCR Output Control Matrix Registration Form | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------|----------------------------------------------------------------------|
| FCR OUTPUT CONTROL MATRIX | | A 'Y' below indicates to suppress output to the submitter for |
| FCR Case Acknowledgement/Error Record | | |
| Suppress the accepted acknowledgement input record only if no error or warning codes are associated with the record. | | |
| Suppress the pending acknowledgement for a IV-D or Non IV-D case input record. | | |
| FCR Person/Locate Request Acknowledgement/Error Record | | |
| Suppress the accepted acknowledgement for an input transaction to add, change or delete a person in a case only if the submitted SSN was verified, there were no error or warning conditions detected and SSA's records did not provide verified multiple SSNs associated with the person. | | |
| Suppress the pending acknowledgement for an input transaction to add the person to or change the person on the FCR. | | |
| Suppress the accepted acknowledgement for an input transaction initiating a Request for Locate for a person only if the submitted SSN was verified and there were no error or warning codes associated with the request. | | |
| Suppress the pending acknowledgement for an input transaction initiating a Request for Locate for a person. | | |
| FCR Query Acknowledgement/Error Record | | |
| Suppress the accepted acknowledgement for an input transaction only if there were no warning conditions associated with the request. | | |
| FCR Query/Proactive Match Response Record | | |
| | | |
| Date: | Submitting Agency: | |
| Requester: | | Phone number: |
| Address: | | |
| City: | State: | Zip Code: |

L.2 FCR Data Inconsistency File

The FCR Data Inconsistency File provides information on specific data inconsistencies for all active participants on IV-D cases with a verified SSN. Participants with an FV Indicator are excluded. This option allows the state to make corrections to data, improving the quality of the data on the FCR.

States may choose to begin receiving the quarterly FCR Data Inconsistency File, described in Section 10.3, “FCR Data Inconsistency File”, via CONNECT:Direct by sending a letter that contains the information noted below to the Federal Office of Child Support Enforcement (OCSE). The letter should be signed by an individual authorized to make decisions affecting the statewide Child Support System. In order to facilitate prompt handling of the request, please include in the request the following information:

- The name, title, agency, address and telephone number of the individual requesting the FCR Data Inconsistency File;
- An indication that this is a FCR Data Inconsistency File request;
- The name, title and telephone number of the person in your state who is the contact to set up the CONNECT:Direct process; and
- The dataset name you want the incoming file to be named. This name should generally be consistent with your normal naming conventions.

To request the FCR Data Inconsistency File, send a letter requesting the file to the address or fax number in Section L.0, “FCR Options for Data Received”.

L.3 FCR Reconciliation File

The FCR Reconciliation File provides all the case and person data stored on the FCR for a state. This enables the state to verify its case and person data stored on the FCR.

To request the FCR Reconciliation File, send a letter requesting the file to the address or fax number in Section L.0, “FCR Options for Data Received”.

In order to facilitate prompt handling of the request, please include in the request the following information:

1. The name, address, and telephone number of the individual who should receive the Reconciliation File at the state; and
2. The method in which the state would like to receive the Reconciliation File: CONNECT:Direct or cartridge (3480 or 3490). (The response to the request will be sent to the state using cartridge, unless otherwise negotiated with OCSE.)

L.4 NDNH-to-FCR Proactive Match Return Same State Data

The FCR normally filters NDNH information sent as a result of NDNH-to-FCR or FCR-to-NDNH Proactive Matching by not sending to a state any records the state submitted to the NDNH. The state may choose to remove this filtering and receive through the Proactive Match process all appropriate NDNH records, including those records the state sent to the NDNH.

Section 2.5.2.2.2, “FCR Option to Receive Data Registration”, describes the filtering of NDNH information as a result of NDNH-to-FCR and FCR-to-NDNH Proactive Matching. States may opt to receive their own submitted W-4 only, QW only, UI only, or any combination or all of the W-4, QW and UI records. To exercise this option, the state should complete and send the “FCR Option to Receive Data Registration Form”, which is shown in Figure L-2, to the address or fax number in Section L.0, “FCR Options for Data Received”.

| Figure L-2: FCR Option to Receive Data Registration Form | | |
|----------------------------------------------------------------------------------------------------|---------------------------|----------------------------------------------------------------------|
| FCR OPTION TO RECEIVE DATA | | A 'Y' below indicates to send output to the submitter for the |
| FCR Proactive Response Record | | |
| Return FCR-to-NDNH and NDNH-to-FCR Proactive Match information submitted to NDNH by own state: W-4 | | |
| Return FCR-to-NDNH and NDNH-to-FCR Proactive Match information submitted to NDNH by own state: QW | | |
| Return FCR-to-NDNH and NDNH-to-FCR Proactive Match information submitted to NDNH by own state: UI | | |
| Date: | Submitting Agency: | |
| Requester: | | Phone number: |
| Address: | | |
| City: | State: | Zip Code: |

L.5 NDNH-To-FCR-Proactive Match Return Bad Address Data

The “Request to Receive NDNH Proactive Match Records that Fail Address Scrubbing” provides the option to receive incorrect addresses and the Address Scrubbing Code on NDNH Proactive Match Responses. Some states feel the address is still useful, even though it failed address scrubbing.

Section 6.10.1.1, “Address Editing of Proactive Match Responses”, describes the filtering of addresses that failed the edits. To receive proactive match records that have failed the FINALIST address scrubbing routines, a state must complete and submit the “Request to Receive NDNH Proactive Match Records that Fail Address Scrubbing Form”, which follows as Figure L-3, to the address or fax number in Section L.0, “FCR Options for Data Received”.

Figure L-3: Request to Receive NDNH Proactive Match Request Records that Fail Address Scrubbing

| | |
|------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Request to Receive NDNH Proactive Match Records that Fail Address Scrubbing | |
| To: | Division of Federal Systems, Office of Child Support Enforcement ATTN: Joan O'Connor Administration for Children and Families Aerospace Building – 2nd Floor 370 L'Enfant Promenade, SW Washington, DC 20447 |
| From: | _____ (State IV-D Director) _____ (State Organization) _____ (Address) _____ |
| Re: | Request to Receive NDNH Proactive Match Records that Fail Address Scrubbing |
| | Our state would like to receive NDNH Proactive Match Records that fail address scrubbing. |
| | _____ |
| | State |
| | _____ |
| | Name and Title of IV-D Director or Designee Authorized to Commit the Agency to This Change |
| | _____ |
| Signature | Date Signed |
| | _____ |
| Name and Telephone Number | |
| | _____ |

L.6 IRS-1099 Locate

The IRS-1099 Locate provides the state tax return information from the IRS. States may find this information useful in their efforts to locate CPs, NCPs and PFs, set the amount, or modify a child support obligation, or to enforce a child support obligation.

Section 9.6.3, “IRS-1099 Security”, describes the safeguarding of IRS-1099 return information. States that wish to receive IRS-1099 information must submit the appropriate request form, a copy of which follows as Figure L-4, “Sample IRS-1099 Security Agreement Letter”, and send it to the address or fax number in Section L.0, “FCR Options for Data Received”.

Figure L-4: Sample IRS-1099 Security Agreement Letter

NO: 0970-0183 OMB Control

Date: 1/31/2005 Expiration

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

From: _____ (State IV-D
Director)

_____ (State
Organization)

_____ (Address)

Re: Annual Certification to Request Information from Forms 1099 on the Wage
and
Information Document Master File for Project 1099

I certify that Project 1099 return information received from the Federal Parent Locator Service/Federal Case Registry is needed for the purpose of, and will be used only to the extent necessary for the purpose of establishing paternity or to establish, set the amount of, or modify a child support obligation; and to enforce a child support obligation pursuant to Part D, Title IV of the Social Security Act. None of the information so obtained will be disclosed to third parties or in litigation relating to the establishment or enforcement of child support obligations. The information sought is not reasonably available from any other source.

In order to comply with the safeguarding requirements of the Internal Revenue Code Section 6103 (p) (4), we agree to adhere to the safeguards for protecting Federal tax returns and return information as contained in Department of the Treasury - Internal Revenue Service Publication 1075 (Rev 6/00), *Tax Information Security Guidelines for Federal, State and Local Agencies - Safeguards for Protecting Federal Tax Returns and Return Information*.

_____ from: _____ to: September 30, 20

State Certification Period

Name, Title, of IV-D Director or Designee

Signature Date Signed

L.7 SVES/AWR Locate

The SVES/AWR Locate provides the state access to Title II, Title XVI, Prisoner and Annual Wage Reporting information. This locate option expands the capability of locating a person and determining his or her current benefits.

Section 10.4, “SSA’s State Verification and Exchange System (SVES)”, describes the access provided to states through the Locate process to Title II, Title XVI and Prisoner Databases. States may choose to begin receiving SVES Locate Responses by completing the “FCR SVES/AWR Data Election Form” that follows as Figure L-5.

States may choose to request SVES by completing the form and sending it to the address or fax number in Section L.0, “FCR Options for Data Received”.

| Figure L-5: FCR SVES/AWR Data Election Form Only use this document if your State wants to begin receiving the expanded SSA information offered through SVES. | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------|----------------------------------------------------------------------------------------------------|
| SVES LOCATE SEARCH OPTION FCR Locate Requests (Record Identifier of 'FPL', 'FPA' or 'FPC') | | A 'Yes' below indicates a state's election to begin receiving SVES data and whether to continue to |
| When our state submits a Locate Request that designates 'E01' (SSA) or 'ALL', the FPLS should send a request to the SVES (State Verification and Exchange System). | SVES With Annual Wage | SVES Without Annual Wage Reporting |
| | | |
| Date SVES Election will become effective (allow one week for processing time after | | |
| Requesting IV-D Agency | | |
| Date of Request | | |
| Name and Title of Requester (Person authorized to make this system decision) | | |
| Phone number | | |
| Street Address | | |
| City | | |
| State | | |
| Zip Code | | |
| Signature | | |

L.8 NDNH 'CS' Locate Return Same State Data

States may elect to have CS-type Locate Requests return NDNH data that their own state submitted. States may find the retrieval faster and easier than trying to get the data from their own state source.

Section 6.7.1.1.3, "FCR Option to Receive Data Registration", describes the filtering of NDNH information sent as a result of an NDNH CS-Locate Response. The state may choose to remove this filtering and receive from the Locate process all appropriate NDNH records, including those records the state sent to the NDNH. States may opt to receive their own submitted W-4 only, QW only, UI only, or any combination or all of the W-4, QW, and UI records. To exercise this option, the state should complete and send the "FCR Option to Receive NDNH CS-Locate Data Registration Form", which is shown in Figure L-6, to the address or fax number in Section L.0, "FCR Options for Data Received".

| Figure L-6: FCR Option to Receive NDNH CS-Locate Data Registration Form | | |
|--------------------------------------------------------------------------------|---------------------------|-------------------------------------------------------------------------------------------|
| FCR OPTION TO RECEIVE NDNH CS-LOCATE DATA | | A 'Y' below indicates to send output to the submitter for the condition described. |
| NDNH CS-Locate Response Record | | |
| Return Locate Response information submitted to NDNH by own state: W-4 | | |
| Return Locate Response information submitted to NDNH by own state: QW | | |
| Return Locate Response information submitted to NDNH by own state: UI | | |
| Date: | Submitting Agency: | |
| Requester: | | Phone number: |
| Address: | | |
| City: | State: | Zip Code: |