

**AUTOMATED SYSTEMS FOR
TRIBAL CHILD SUPPORT ENFORCEMENT:
GUIDE FOR
TRIBES AND TRIBAL ORGANIZATIONS**

**TCSE ESSENTIAL REQUIREMENTS
February 2005**



U. S. DEPARTMENT OF HEALTH & HUMAN SERVICES

Administration for Children and Families
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BACKGROUND

This document results from the 2004 Tribal Systems Workgroup review of the *ACF Automated Systems for Child Support Enforcement: A Guide for States* (updated August 2000) for applicability to tribal automated systems. The document is intended as an example set of minimal functional requirements for a tribal child support enforcement (TCSE) system. It is not official, nor should it be interpreted as such.

During the Tribal Workgroup sessions, consensus was gained on requirements, portions of requirements, and supplementary text as falling into one of three categories:

- | | |
|--------------------|---|
| Essential | Functional capabilities that all tribal systems must incorporate. “Essential” requirements are those without which a software deliverable would not be deemed acceptable, and which require no special justification for funding. |
| Conditional | Functional capabilities that may be incorporated into some tribal systems. “Conditional” requirements are those which a software deliverable could be deemed acceptable in the absence of, and for which individual Tribes or Tribal organizations may request funding without further justification. |
| Optional | Functional capabilities that are not necessarily needed in a software deliverable, but for which individual Tribes or Tribal organizations may request funding with additional justification or explanation. |

This document contains the full text of requirements considered “Essential” for any tribal system. “Conditional” and “Optional” requirements are not included.

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CHAPTER I: GENERAL REQUIREMENTS

GENERAL POLICY DEFINITIONS

A *comprehensive system* performs all functional requirements within legislated timeframes specified in Federal TCSE regulations and guidelines. Additionally, a comprehensive system electronically interfaces with other agencies' and organizations' systems when appropriate -- Federal, State, Tribes or Tribal organizations, and private entities -- to improve program management and operations.

To be considered an *operational system* by ACF:

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

To be considered an *efficient and effective system* by ACF:

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

Costs must be reasonable, appropriate, allocable and allowable.

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

- The IV-D agency, through the comprehensive system, has the ability to control, account for, and monitor all factors in support of collection and paternity determination processes.
- The system represents the sole system effort for administration of the IV-D program within the Tribe or Tribal organization.
- There is no duplicative application software; that is, the same functions are not performed by different software modules.

- There is one single application software development and maintenance effort and organization.
- There is no duplicative data entry. Common data elements contained in more than one component are only entered once and updates to common data elements are automatically made in all components; that is, the data in all components are electronically synchronized.
- All system components are electronically linked and the linkage is transparent to users.

Software production consists of three overlapping activities: planning, development and maintenance.

- The **Planning Phase** includes technical and management activities necessary for initiating and providing guidance for a software project. The first activity is to create a development plan to give a detailed description of the nature and scope of the activities to be undertaken and the methods to be used to accomplish the project, including defining the project life-cycle and the processes, methods and tools for software development. The plan should describe the projected resource requirements for staff, hardware, and other needs and the resources available or expected to be available to meet the requirements. The plan must also contain a proposed activity schedule for the project, a personnel resource statement indicating availability of qualified and adequate staff, a proposed budget including a description of estimated expenditures by category and amount, and the estimated total project cost. The plan should define the project's deliverables, work breakdown structure, quality goals, and risks, as well as processes for monitoring, controlling and reporting on the project throughout its life.

Activities in this phase may include (in addition to creating the development plan): performing a Requirements Analysis, preparing a Functional Requirements Specification, assessing other systems for transfer, prototyping all or part of a proposed new system, installing hardware and networks for development and testing, preparing a General System Design, and any related procurements to support planning and/or securing system development and implementation resources.

- The **Development Phase** includes all the activities required to create acceptable software deliverables as required by the development plan. These activities should include detailed design (defining how the system is decomposed and organized into components), construction (the building of working, meaningful software through a combination of coding, validation, and unit testing), system testing (the dynamic verification of the behavior of a program on a set of test cases), and installation (the integrated testing of software and hardware subsystems, hardware and operating system software procurement and installation, system conversion, and turnover to operational status).
- The **Maintenance Phase** is the totality of activities required to provide cost-effective support to a software system. Maintenance activities are performed during the pre-delivery stage as well as the post-delivery stage. Pre-delivery activities include planning for post-delivery operations, supportability, and logistics determination. Post-delivery activities include minor software modification, on-going and refresher training, and operating a help desk.

TERMINOLOGY

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

- *Automated Data Processing System.* The data, information, business rules, and requirements, built into process-specific software applications, supported by operating system software and computer hardware and telecommunications equipment, that when combined and interfaced will meet an organization's operational business requirements and goals. A child support enforcement system is an example of an automated data processing (ADP) system in the human services arena, as is, for example, a financial management and accounting system in a bank's finance department. A copy of Microsoft Windows© is not an automated data processing system; rather, it is but one component (the operating system) of a larger, overall ADP system.
- *Automated Generation of Documents.* The system can be programmed to recognize situations requiring certain documents or notices and then generate the document without caseworker intervention.
- *Case History.* A recorded history, in chronological order, of all activities pertaining to a case. All critical transactions entered to the system are automatically recorded in the case history file.
- *Caseworker Edits.* The system must not accept caseworker edits to system initiated actions and the Tribe or Tribal organization must establish time limits for editing records of manually initiated actions, not to exceed one workday.
- *Electronic Data Interchange (EDI).* Data is exchanged through an electronic forum, either on-line or by batch processing, and the resultant data is available on-line to all appropriate parties.
- *Office Automation.* Office automation is not specifically designed to meet the programmatic and business-centric needs of an organization. Rather, office automation is a generic adjunct component that supports the routine administrative functions in an organization, as well as certain functions of an automated data processing system. For example, office automation might include the word processing capabilities needed to enable the child support enforcement system (the actual ADP system) to produce summons and petitions. Office automation might also describe the creation of certain reports or accounting spreadsheets that serve to streamline an otherwise wholly manual business function through the use of macros to merge data and text into a usable management productivity tool. Office automation components can include some or all of the following:
 - Personal computers and workstations
 - Networking and application servers
 - Telecommunications and network wiring to connect the computers in a unified network environment
 - Network Operating Systems (NOS) and workstation and personal computer operating system software, such as Microsoft Windows XP© or Red Hat Linux©
 - Office productivity software, such as Microsoft Office©, Microsoft Project© or WordPerfect©
 - Electronic mail and Internet access services, such as T-1, DSL, or 56K dial-up (e.g., AOL© and Earthlink©.)

- *Recommended Data Elements.* Recommended data elements identify needed information and should not be considered naming conventions or required. Tribes or Tribal organizations may opt for differing approaches to data collection as long as the underlying processing requirements and program standards are met.
- *System Initiated Actions.* To the extent possible, the system should take the next appropriate case action without caseworker intervention. If a caseworker decision is needed, options can be automatically presented to the caseworker and a timeline for taking action is established.
- *System Modification.* The system must be programmed in a manner that provides for modification with a minimal amount of effort.
- *X-Timeframe (TBD).* A timeframe for action that must be determined by each Tribe or Tribal organization prior to setting up the system for use. Data elements may need to be added to the system to capture and monitor the X-Timeframe.

CHAPTER II: TCSE SYSTEM REQUIREMENTS

A. CASE INITIATION

A-1 OBJECTIVE: The system must accept, maintain, and process information for non-IV-A services.

Related Program Statutes and Regulations:

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

System Certification Requirements:

- a. Upon receipt of a signed application for non-IV-A services, the system must maintain the date the signed application was received.

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

Related Program Statutes and Regulations:

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

System Certification Requirements:

- a. The system must accept referrals from the IV-A agency.
- b. The system must record, in the automated case record, the date the referral was received.
- c. The system must accept and process referral information on each custodial parent, non-custodial parent, and child, and referral information on the case and support order, including payment and arrearage data.
- d. Within X-Timeframe (TBD) of receipt of a referral, the system must:
 1. Establish a case record;
 2. Refer the case to the appropriate processing unit (e.g., locate or paternity establishment); and
 3. Notify the caseworker of the case.

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

Related Program Statutes and Regulations:

45 CFR 309.80
45 CFR 309.85

System Certification Requirements:

- a. The system must automatically establish unique numbers (i.e., case numbers and participant identification numbers) that allow for case identification and the linking of cases to multiple non-custodial parents and obligations.
- b. At a minimum, the system must be able to identify the following case types:
 1. Title IV-D
 2. Non-IV-D: Cases maintained on the system, which are not recipients of IV-D services (e.g., payment processing-only type cases).
- c. The system must identify foreign jurisdiction cases.

A-4 OBJECTIVE: The system must establish an automated case record for each application/referral.

Related Program Statutes and Regulations:

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

System Certification Requirements:

- a. The automated case record must provide a chronological case history of actions taken, whether manual or automated.
- b. At a minimum, the system must maintain case history on-line for a period of X-Timeframe (TBD). Previous history may be stored off-line, as long as it is maintained in an automated manner for retrieval purposes.
- c. The automated case record must include data to allow the system to effectively monitor program time standards.

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

Related Program Statutes and Regulations:

45 CFR 309.85

System Certification Requirements:

- a. The system must maintain identifying information about the non-custodial parent, including, at a minimum, the following:
 1. Name (including aliases and maiden name),
 2. Sex,
 3. Race (including a choice of “undisclosed”),
 4. Social Security Number and alias or aliases,
 5. Home Address including reservation address indicator,
 6. Mailing Address including reservation address indicator,
 7. Date of Birth,

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

- 14. Paternity information,
 - 15. Tribal affiliation (including a choice of “none), and
 - 16. Other information as specified by the Tribe or Tribal organization.
- d. The system must maintain information that indicates whether a participant is subject to family violence as determined by Tribal policy.

B. LOCATE

- B-1 OBJECTIVE:** The system must support electronic interface with all appropriate sources, whether automated or manual, to obtain and verify locate, asset and other information on the non-custodial/putative parent or custodial parent. The system should automatically generate any needed documents.

Related Program Statutes and Regulations:

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

System Certification Requirements:

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

Note: The Tribe or Tribal organization must establish appropriate data elements for interfacing with each specific interface information source.

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

Related Program Statutes and Regulations:

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

System Certification Requirements:

- a. The system should, when locate action is required, be able to:
 1. Support the automatic submission of cases to all appropriate locate sources (whether automated or not);
 2. Track responses from each locate source, including verified address information;
 3. Support the tracking of information from manual locate sources;

4. Record and maintain information on positive responses received from locate sources; and
 5. Forward cases to the next appropriate function when sufficient information is available.
- b. If caseworker action is required, the system must alert the caseworker of the needed action.
 - c. The system should automatically follow up when information is solicited and no response is received after a reasonable amount of time. The system should:
 1. Re-access the source using an automated interface, if available; or
 2. If an automated interface is not available, notify the caseworker and automatically generate the documents necessary to encourage a response.
 - d. Whenever key locate data elements are added or changed due to the receipt of new information, the system must immediately notify the worker to take action, such as resubmitting the case to all appropriate automated and manual locate sources.

C. ESTABLISHMENT

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

Related Program Statutes and Regulations:

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

System Certification Requirements:

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

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

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

- C-2 OBJECTIVE:** The system must automatically record, track, and monitor information on obligations, and generate documents to establish support.

Related Program Statutes and Regulations:

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

System Certification Requirements:

- a. The system must monitor case activities to ensure that the following activities are completed within X-Timeframe (TBD) of the location of the alleged father or non-custodial parent regardless of whether paternity has been established.

1. Complete service-of-process necessary to commence proceedings to establish a support order, and if necessary, paternity;
 2. Establish an order for support which may be based on a voluntary acknowledgment of paternity; or
 3. Document, in accordance with Tribal or Tribal organization procedures, unsuccessful attempts to serve process in accordance with the diligent effort guidelines of the Tribe or Tribal organization.
- b. The system must monitor and identify cases to support the review and modification procedures of the Tribe or Tribal organization.
 - c. The system should support the automatic generation of required documents to establish an order of support or to serve process. The date and type of documents generated must be automatically recorded in the case record.
 - d. The system should support the initiation of necessary actions to meet the Tribe's or Tribal organization's guidelines for diligent efforts to serve process. In particular, the system should periodically re-initiate service-of-process in cases where previous attempts have failed but adequate identifying information exists.
 - e. The system must automatically record all critical system-initiated actions and accept entry of data regarding all actions taken outside the system. The system must not accept edits to system initiated actions and the Tribe or Tribal organization must establish time limits for editing records on manually initiated actions not to exceed one business day from the entry of data.
 - f. If the court/administrative authority dismisses a support order petition without prejudice, a code in the automated case record must indicate the reason for dismissal. In such cases, the IV-D agency must determine a date when it would be appropriate to re-seek an order and enter this date into the case record. The system must support the automatic re-initiation action to obtain a support order at that time.

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

Related Program Statutes and Regulations:

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

System Certification Requirements:

- a. In establishing the order, the system must use the Tribe's or Tribal organization's approved child support guidelines to automatically calculate the support obligation amount.
- b. The system must maintain case data on the application of the guidelines and deviations from the guidelines for the required four-year guideline review.
- c. When an order is established, the following information must be recorded in the case record:
 1. Type of obligations (child, spousal, medical, arrearage-only),
 2. Date of order,

3. Date adjusted (if adjusted),
 4. Amount of order,
 5. Payment frequency,
 6. Arrearage (if any),
 7. Method of payment (e.g., in-kind payments),
 8. Payment due date, and
 9. Issuing jurisdiction of order.
- d. The system must maintain a history of all previously established orders.
 - e. The system must individually identify and link multiple obligations (support orders).
 - f. The system must identify obligations as voluntary, administrative, or court ordered.
 - g. If Tribal law provides authority for the administrative establishment of support, the system must support the administrative establishment of support orders, including the generation of appropriate documents.
 - h. The system must generate a notice to the custodial parent (CP) and non-custodial parent (NCP) of all proceedings in which support obligations might be established or modified.

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D. CASE MANAGEMENT

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

Related Program Statutes and Regulations:

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

System Certification Requirements:

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

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

Related Program Statutes and Regulations:

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

System Certification Requirements:

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

- D-3 OBJECTIVE:** The system must update and maintain in the automated case record information, facts, events, and transactions necessary to describe a case and actions taken in a case.

Related Program Statutes and Regulations:

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

System Certification Requirements:

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

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

- c. The system must not accept edits to system initiated actions and the Tribe or Tribal organization must establish time limits for editing records on manually initiated actions not to exceed one business day from the entry of the data.

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

Related Program Statutes and Regulations:

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

System Certification Requirements:

- a. The system must perform case monitoring to ensure that case actions are accomplished within required timeframes. The system must track dates to ensure that the Tribal program timeframes for locate, paternity establishment, support order establishment, review and adjustment, and enforcement (including wage withholding) are met.
- b. Whenever possible, the system should automatically initiate the next step in case processing without being prompted by the caseworker. The system should automatically:
 1. Generate documents and notices;
 2. Accept, edit, and verify information and data from various sources;
 3. Flag cases for potential review and adjustment of support obligations;

4. Process and distribute collections; and
5. Direct cases to the next appropriate processing unit once action is completed in a unit.

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

Related Program Statutes and Regulations:

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

System Certification Requirements:

- a. The system must track the review and adjustment process to ensure that the following timeframe is met:
 1. Within X-Timeframe (TBD) after issuance of any order modifying a child support obligation or a determination of no change in the amount of child support, the system must:
 - (a) Alert the caseworker to provide each party with a copy of the order, record that copies were provided; or
 - (b) In the case of a petition for modification, the system must generate a notice of determination that there should be no change in the amount of the child support award.
- b. All information received and actions taken must be recorded in the automated case record. Data elements must indicate the amount of any adjustments, including the reason for no adjustment being pursued.

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

Related Program Statutes and Regulations:

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

System Certification Requirements:

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

D-7 OBJECTIVE: The system must provide for management of all foreign cases.

Related Program Statutes and Regulations:

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

System Certification Requirements:

- a. The system must ensure that foreign cases receive the same services as intra-Tribal cases.
- b. The system must identify a case as foreign and identify the other State, Tribe, or Tribal organization and its FIPS identifier.

D-8 OBJECTIVE: The system must manage initiating-jurisdiction and responding-jurisdiction case actions.

Related Program Statutes and Regulations:

45 CFR 309.85
45 CFR 309.95
45 CFR 309.105
45 CFR 309.110
45 CFR 309.115
45 CFR 309.120
45 CFR 309.130
45 CFR 309.160
45 CFR 309.170

System Certification Requirements:

- a. In both initiating-jurisdiction and responding-jurisdiction cases, the system must support the tracking and recording of dates to ensure that appropriate actions are taken within program standard timeframes.
- b. All actions, including the transfer of the case to another jurisdiction if the non-custodial parent is located there, must be automatically noted in the automated case record.
- c. When a case is closed by either the initiating or responding jurisdiction, the reason and date of closure must be entered in the automated case record.

E. ENFORCEMENT

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

Related Program Statutes and Regulations:

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

System Certification Requirements:

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

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

Related Program Statutes and Regulations:

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

System Certification Requirements:

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

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

Related Program Statutes and Regulations:

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

System Certification Requirements:

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

F. FINANCIAL MANAGEMENT

F-1 OBJECTIVE: The system must automatically process all payments received.

Related Program Statutes and Regulations:

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

System Certification Requirements:

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

F-2 OBJECTIVE: The system's accounting process must accept and maintain all financial information, and perform all calculations relevant to the IV-D program.

Related Program Statutes and Regulations:

45 CFR 309.65(a)
45 CFR 309.75(e)
45 CFR 309.85
45 CFR 309.85
45 CFR 309.100
45 CFR 309.105(a)(4)
45 CFR 309.110
45 CFR 309.120
45 CFR 309.130
45 CFR 309.145(a)(3)
45 CFR 309.170

System Certification Requirements:

- a. The system must maintain an audit trail for all transactions.
- b. The system must distribute all current support collections.
- c. The system must calculate, distribute and maintain arrearage information.

F-3 OBJECTIVE: The system must distribute collections in accordance with Tribal regulations, and any applicable guidance as provided in Action Transmittals.

Related Program Statutes and Regulations:

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

System Certification Requirements:

- a. Each time distribution and disbursement takes place, the system must support the recording of the amount, date of distribution, date of disbursement, and the recipient.
- b. In inter-jurisdictional cases, the responding jurisdiction's financial subsystem must provide for disbursement to the initiating jurisdiction within X-Timeframe (TBD) of receipt. All transfers must be recorded in or linked to the automated client record. Data to the initiating jurisdiction must include: identifying case numbers, payment amount, date of collection, non-custodial parent's name and Social Security Number.

F-4 OBJECTIVE: The system must generate notices, to IV-A and former IV-A recipients continuing to receive IV-D services, about the amount of support collections and must notify the IV-A agency about collections for IV-A recipients.

Related Program Statutes and Regulations:

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

System Certification Requirements:

- a. When a collection is received, the financial subsystem must automatically produce a annual notice of assigned support collections for IV-A and former IV-A custodial parents who continue to receive IV-D services and have outstanding arrearages that have been assigned to another jurisdiction, to the Tribe, or Tribal organization. The annual notice must separately list payments collected from each non-custodial parent, if appropriate, and must indicate the amount of current support, the amount of arrearage collected, and the amount of support collected which was disbursed to the family.

- b. If applicable, the IV-D agency must provide the IV-A agency information on the amount of monthly support collections received for each IV-A case. The information must be provided within X-Timeframe (TBD) in working days of the end of the month in which those collections were received by the IV-D agency responsible for final distribution. The information must include the amount, case number, and date of collection for each payment.

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G. REPORTING

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

Related Program Statutes and Regulations:

45 CFR 309.130

45 CFR 309.170

System Certification Requirements:

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

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

Related Program Statutes and Regulations:

45 CFR 309.85(a)(7)

System Certification Requirements:

- a. The system must generate operational reports at the caseworker and unit level to facilitate their day-to-day work. As determined necessary by the IV-D agency, the report/worklist, whether manual or automated, must provide the following types of information:
 1. Cases needing review per prioritization or case aging (e.g., program standards and timeframes) criteria;
 2. Any required follow-up case reviews and/or actions triggered manually by the caseworker, unit or jurisdiction, or automatically by the system;
 3. Cases to be automatically acted on by the system, e.g., wage withholding cases, which may require caseworker review and/or action; and
 4. Cases newly assigned that require caseworker review and/or action.

Note: All triggered caseworker review and action requirements on the automated daily report/worklist should include some form of case aging indicator, relative to applicable Federal and Tribal IV-D program standards and timeframes.

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

Related Program Statutes and Regulations:

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

System Certification Requirements:

- a. The system must ensure the validity of data entered into the system and generate error/edit reports.
- b. The system should generate reports pertaining to the following financial activities, as applicable:
 1. Collections,
 2. Escrowed collectibles,
 3. Adjustments,
 4. Fees collected,
 5. Future and arrearage payments,
 6. Inter-jurisdiction collections,
 7. Checks and check registers,
 8. Summary of distribution of child support,
 9. Summary of receipts by collecting agency, and
 10. Interest collected.

- G-4 OBJECTIVE:** The system should provide management reports for monitoring and evaluating both employee, office/unit and program performance.

Related Program Statutes and Regulations:

45 CFR 309.85(a)(7)

System Certification Requirements:

The system must have a reporting capability to provide management the flexibility to obtain information on an as-needed basis and to satisfy new information needs.

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

Related Program Statutes and Regulations:

45 CFR 309.160

System Certification Requirements:

- a. All program, financial, statistical, and other data maintained by the system must be auditable.
- b. The system must generate an automated case history, as defined by the Tribal program, for each case that includes actions taken, the dates of actions, and, if appropriate, the results of these actions.

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H. SECURITY AND PRIVACY

- H-1 OBJECTIVE:** The Tribe or Tribal organization must have policies and procedures to evaluate the system for risk on a periodic basis. The Tribal agency shall have in effect safeguards on the integrity, accuracy, and completeness of, access to, and use of data in the automated system required by this section, which shall include the following (in addition to such other safeguards as the Secretary may specify in regulations). The Tribal agency shall have written policies, concerning access to data by Tribal agency personnel and sharing of data with other persons, which permit access to and use of data only to the extent necessary to carry out the Tribal program under this part; and specify the data which may be used for particular program purposes, and the personnel permitted access to such data.

Related Program Statutes and Regulations:

45 CFR 309.80(b)
45 CFR 309.85(a)(7)

System Certification Requirements:

- a. Responsibility for conducting periodic risk analysis must be formally assigned.
- b. Security and data integrity, accuracy and completeness will be periodically assessed.
- c. A specific timetable for conducting a risk analysis must be established. The plan must ensure that special evaluations are performed whenever a significant change to the system's physical security, hardware, or operating system software occurs.

- H-2 OBJECTIVE:** The system must be protected against unauthorized access to computer resources and data in order to reduce erroneous or fraudulent activities and protect the privacy rights of individuals against unauthorized disclosure of confidential information.

Related Program Statutes and Regulations:

45 CFR 309.80(b)
45 CFR 309.85(a)(7)

System Certification Requirements:

- a. System, terminal, and password identifications must be controlled, and must uniquely identify the system user.
- b. The system must automatically require the system user to change passwords periodically.
- c. The system must provide security levels for access to records and files and utilize automatic sign-off techniques.
- d. Procedures for system and terminal user identification assignment, maintenance, and cancellation must be in place.
 1. Delegation and maintenance of the password system must be limited to a select number of people; and

2. A mechanism must be in place to quickly notify those responsible when there are personnel changes.
- e. The system must detect, record, and lock out unauthorized attempts to gain access to system software and data.
- f. Access to negotiable or sensitive forms must be restricted.
- g. For security purposes, the system must be capable of maintaining information on all changes to critical records and/or data fields (e.g., Arrearage Balance, Monthly Court-Ordered Support Amounts, Social Security Number (SSN), Name, Family Violence Indicator, etc.) including identification of the responsible system user/caseworker and date/time of the change.
- h. The system must be capable of routinely monitoring the access to use of the automated system.
- i. The system must prevent disclosure of information on persons designated as subject to family violence.

H-3 OBJECTIVE: The Tribe or Tribal organization must have procedures in place for the retrieval, maintenance, and control of the application software.

Related Program Statutes and Regulations:

- 45 CFR 309.80(b)
- 45 CFR 309.85(a)(7)

System Certification Requirements:

- a. Change control procedures must be established to verify and validate changes to master files and application software.
- b. Change control procedures must ensure that only authorized changes are made to the application software and that these changes are fully tested, approved, and migrated into production in a controlled manner, and documented to provide an audit trail of all system maintenance.
- c. Application software development must also include recovery and re-start capabilities for events such as operator errors, data errors and/or hardware/software failures.
- d. All testing of programs must be accomplished using test data as opposed to "live (production) data".

***Note:** The use of "live (production) data" in a test environment is acceptable, and encouraged.*

- e. An audit trail of all operating system actions must be maintained either on the automatic console log or on the computer system's job accounting file.
- f. Access to system utility programs must be limited to necessary individuals with specific designation.

H-4 OBJECTIVE: The Tribe or Tribal organization must have procedures in place for the retrieval, maintenance, and control of program data.

Related Program Statutes and Regulations:

45 CFR 309.80(b)
45 CFR 309.85(a)(7)

System Certification Requirements:

- a. All changes to master files must be authorized and initiated by persons independent of the data processing function.
- b. Override capability or bypassing of data validation on editing problems must be restricted to supervisory personnel.

H-5 OBJECTIVE: The system hardware, software, documentation, and communications must be protected and back-ups must be available.

Related Program Statutes and Regulations:

45 CFR 309.80(b)
45 CFR 309.85(a)(7)

System Certification Requirements:

- a. The Tribe or Tribal organization must have an approved disaster recovery plan which provides detailed actions to be taken in the event of a natural disaster (fire, water damage, etc.) or a disaster resulting from negligence, sabotage, mob action, etc. The disaster recovery plan should at a minimum include:
 1. Documentation of approved backup arrangements,
 2. Formal agreement of all parties,
 3. An established processing priority system, and
 4. Periodic testing of the backup procedures.
- b. The Tribe or Tribal organization must maintain a listing of retention periods for all application and operating system files and program versions.
- c. The system must have, or be supported by, a recovery and restore capability in case of system malfunction or failure.
- d. The Tribe or Tribal organization must conduct routine, periodic backups of all child support system data files, application programs, and documentation.
- e. The Tribe or Tribal organization must store duplicate sets of files, programs, documentation, etc., off-site in secure waterproof and fireproof facilities.

H-6 OBJECTIVE: The system must be capable of processing data related to calendar year 2000.

Related Program Statutes and Regulations:

45 CFR 309.85(a)(7)

System Certification Requirements:

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

List of Acronyms

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

List of Reports

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

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

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

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

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

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