

Section 6.0: Transaction Functional and Business Usage

6.0 TRANSACTION FUNCTIONAL AND BUSINESS USAGE

This section contains a general description and possible uses for each of the CSENet 2000 Function codes. It also provides suggested uses of key elements or indicators (triggers) on state Child Support Enforcement (CSE) systems to generate and respond to CSENet 2000 transactions in an automated manner. For specific transaction and data usage, refer to Appendix B: *Valid Transactions Table*, Appendix C: *Data Block Record Layout*, and Appendix D: *Transaction Functional Matrix*.

6.1 Transaction Function Codes

This section provides a high level view of the business usage for each Function code, shown in Chart 6-1. It also provides guidance on the automation of transaction processing, and possible practices and actions, e.g., Acknowledgments, Reminders, Cancels, and Updates, for states. Due to the various state CSE systems, a variety of processing options exist and states must decide what best meets their needs. Additional information on Function codes can be found in Section 5.0: *Transaction Structure*.

CHART 6-1: TRANSACTION FUNCTION CODES	
Function	Use
Quick Locate (LO1)	Locating noncustodial parents (NCP).
Case Status Information (CSI)	Requesting case information from another state based on FCR proactive match, FCR Query Response, or other source and used for interstate case reconciliation (ICR).
Enforcement (ENF)	Enforcing support orders.
Managing State Cases (MSC), formerly Miscellaneous	Supporting ongoing case activity and administrative services required by the Uniform Interstate Family Support Act (UIFSA).
Paternity (PAT)	Establishing paternity.
Establishment (EST)	Establishing support orders.
Collection (COL)	Notifying a state of income tax interception.

Many states have developed automated processes for building outgoing transactions and processing received transactions. This approach greatly facilitates and enhances the interstate communication capabilities provided by CSENet 2000. When building automatic processes into a CSE system, caution should be used to insure information is not duplicated. For example, upon receiving a notice of a hearing from a state and updating the CSE system, the entry of this data should not trigger a transaction to the state that just provided the information. Also, states should record and track incoming and outgoing transactions. Additional information regarding this task can be found in Section 4.0: *Integrating CSENet 2000 in a State CSE System*.

6.1.1 QUICK LOCATE (LO1)

The LO1 Function code is a highly successful way of locating NCPs in a quick and efficient manner. It is typically used to obtain an address and/or employer when a state has reason to believe that the NCP works or resides in another state. LO1 transactions should be a fully automated process. Worker intervention, in most cases, should not be required for the CSE system to request or retrieve locate data through the state’s interfaces with the databases of other states. The Reason codes for LO1 transactions provide very specific information, using the LO1 enhances opportunities to automatically record and act on information provided by an LO1 Request. The Reason code identifies the results of the locate efforts and data contained in the transaction.

Chart 6-2 illustrates a possible sequence for the locate process.

CHART 6-2: SEQUENCE OF QUICK LOCATE ACTIVITY	
1.	The initiating state identifies the state in which the NCP may reside or work.
2.	The initiating state generates a LO1 Request providing, at a minimum, the NCP’s name, social security number and/or date of birth.
3.	The responding state receives the Request and begins a search for the NCP. (Note: Since the responding state is not required to open a new IV-D case, it does not return a formal Acknowledgment.) The state may build a shell case or run the NCP through its locate sources from a file or other methods.
4.	After obtaining locate information, the responding state sends a LO1 Response to the initiating state, providing data found on the NCP or, if information was not found, an appropriate Reason code to that effect.
5.	Upon receiving the Response, the initiating state updates its system with the new information and determines the next step of case processing.

6.1.1.1 Building a LO1 Request

When building LO1 Requests, it is important to consider two issues: how the CSE system identifies the NCP that needs to be located and to which state(s) the Request should be sent. Figure 6-1 shows the steps usually taken to build a LO1 Request.

Figure 6-1: Steps for Building a LO1 Request

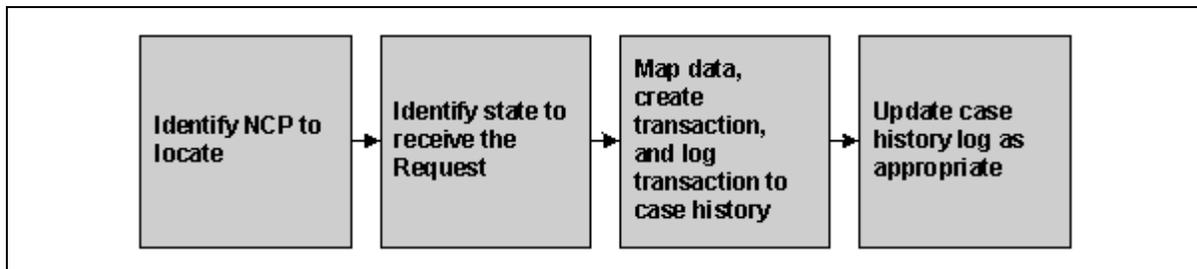


Chart 6-3 lists examples of elements or indicators within state CSE systems to identify NCPs as meeting the requirements for generating a LO1 Request.

CHART 6-3: EXAMPLES OF TRIGGERS FOR LO1 REQUESTS	
1.	Asset, address, or employer in another state.
2.	No support order has been issued or the NCP is not making payments.

6.1.1.2 Processing a LO1 Request

Upon receiving a LO1 Request, automatically:

1. submit the NCP to sources for locate information. (Note: The state receiving the Request is not required to refer the case to the FPLS);
2. track the receipt of information to send a Response; and
3. build a LO1 Response as indicated in the next section.
4. States are not required to initiate a IV-D case and do not send a formal Acknowledgment. Some states have chosen to build a shell case for incorporation into their regular locate process. Other states create a file of LO1s and use this file to perform searches and return information to the requesting state.

6.1.1.3 Building a LO1 Response

The CSENet 2000 application supports states' efforts to build LO1 Responses by using unique Reason codes to identify the information contained in the transaction. For example, if

an address for the NCP is obtained, the transaction could contain a Reason code of either LICAD (NCP’s address found but not confirmed) or LSADR (NCP address located and confirmed) with address information provided in the NCP Locate Data Block. If no information is found on the NCP within a specific timeframe, the Reason code LUALL (no information found) is appropriate.

States should consider the response time of their state locate sources to determine when the Response should be sent.

Figure 6-2 shows the steps usually taken to build a LO1 Response.

Figure 6-2: Steps for Building a LO1 Response

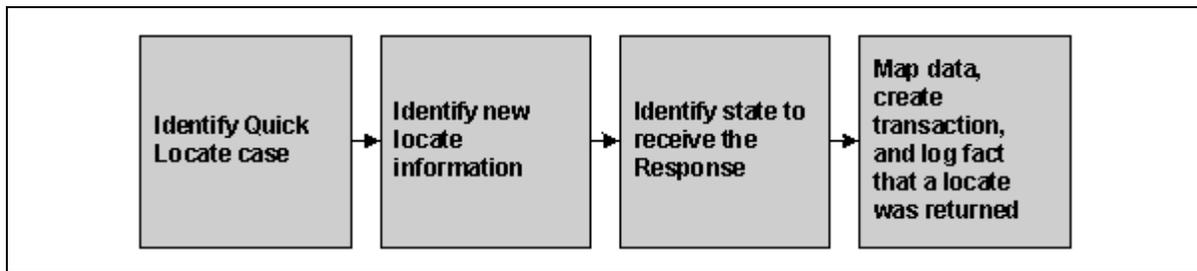


Chart 6-4 lists examples of elements or indicators within state CSE systems that may be identified for use as triggers to automatically generate LO1 Responses.

CHART 6-4: EXAMPLES OF TRIGGERS FOR LO1 RESPONSES	
1.	Identifies that new locate information has been received.
2.	Identifies a LO1 Request for which locate information has not been found within a specific timeframe.

6.1.1.4 Processing a LO1 Response

Upon receiving a LO1 Response, a state should consider taking the following actions:

1. locate the CSE case or NCP to which the transaction refers;
2. identify the information contained within the transaction;
3. load the information into the appropriate area of the CSE system, or if no information was found, update the CSE system and refer to the caseworker as appropriate; and
4. log the receipt or non-receipt of the information.

Once a state has received and processed the LO1 Response, next steps of case processing are determined.

6.1.2 CASE STATUS INFORMATION (CSI)

The CSI Function code was added to the CSENet 2000 application to provide states an automated method to obtain comprehensive case and order information from another state. It was developed primarily to supplement the information received from a FCR match. It is also used to share case and order information from another state and keep the data current. This Function code is also used for the ICR-CSI method of interstate case reconciliation.

FCR Query/Proactive Match Response Records contain the state's FIPS code, case ID, NCP name, and social security number (SSN). The FIPS codes and case IDs identify the case and provide direction to obtain further information if needed. Chart 6-5 provides a possible sequence of FCR and CSI transaction activity.

CHART 6-5: SEQUENCE OF CASE STATUS INFORMATION ACTIVITY	
1.	State A receives a FCR Query/Proactive Match Response Record indicating that the NCP and/or CP is involved in a case in another state.
2.	The case is evaluated to determine if additional case information would facilitate processing and warrant sending a CSI Request. State A may want to generate a CSI Request, if, for example, there is no order or the NCP has stopped paying on an existing order.
3.	State A sends a CSI Request providing state B's case ID and FIPS code and logs the request in its system.
4.	State B receives the Request and matches it to a case on its CSE system.
5.	State B sends a CSI Response containing all case and order information or, if the case ID is not found, a Response with a Reason code to that effect.
6.	State A evaluates the information, updates its CSE system with the new information as appropriate, and determines the next case-processing action.

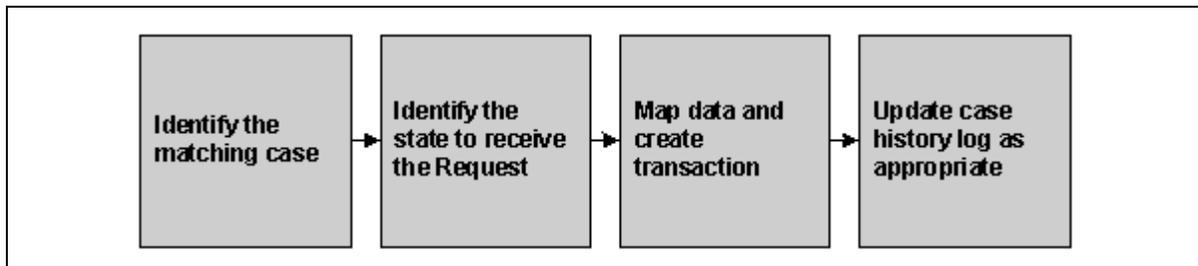
6.1.2.1 Building a CSI Request

Upon receiving a participant match from the FCR or if a state has an open interstate case but needs updated information from the other state, they may query the other state using the CSI Request. A CSI Request can be generated in an automated fashion or initiated by a caseworker. Before initiating a CSI Request, states may want to evaluate whether additional data would facilitate processing of the case. During the development of the Transaction Functional Matrix (TFM) there was consensus that, when automating CSI Requests, criteria should be established to eliminate broadcasting transactions. When automating CSI Requests, states may consider eliminating cases such as:

- a known interstate case with the state matched by the FCR;
- cases that have a verified NCP address and/or employer;
- cases that are not delinquent; and
- cases with deceased NCPs.

Figure 6-3 shows the steps usually taken to build a CSI Request.

Figure 6-3: Steps for Building a CSI Request



6.1.2.2 Processing a CSI Request

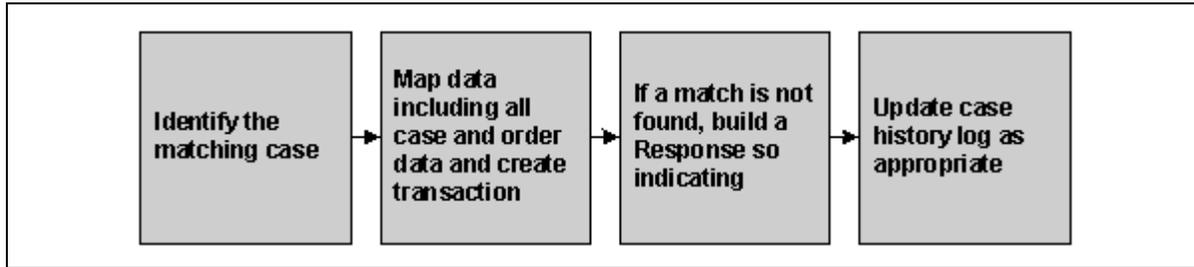
Upon receiving a CSI Request, states should automatically build a CSI Response as indicated below.

6.1.2.3 Building a CSI Response

Because CSI Responses include extensive case and order information, these transactions must be automated. There should be no manual intervention when generating a CSI Response.

Figure 6-4 shows the steps usually taken to build a CSI Response.

Figure 6-4: Steps for Building a CSI Response



6.1.2.4 Processing a CSI Response

Once a Response is received, the initiating state can then determine the next case-processing action. Upon receiving a Response, states should, at a minimum:

1. match the information to the existing CSE case;
2. load the information into the appropriate area of the CSE system, or if no information was found, process as appropriate; and
3. update the case history log as appropriate.

Once a state has received and processed the CSI Response, next steps of case processing are determined.

6.1.3 ENFORCEMENT (ENF)

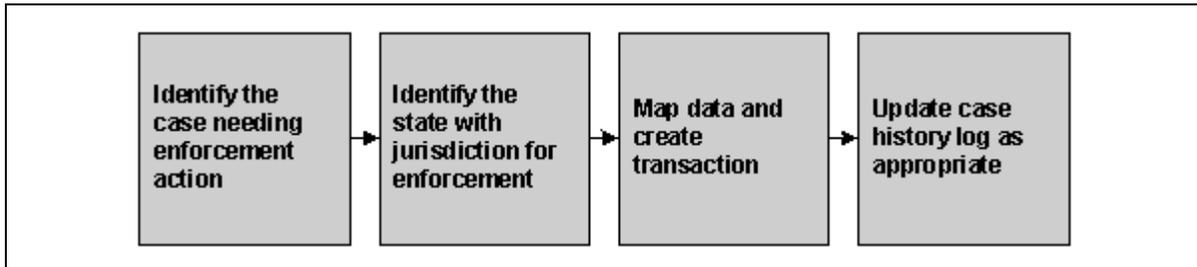
The ENF Function code supports a variety of enforcement actions for interstate cases. Chart 6-6 provides a possible sequence of events that would result in the generation of an enforcement transaction.

CHART 6-6: SEQUENCE OF ENFORCEMENT ACTIVITY	
1.	The initiating state identifies the case needing interstate enforcement action.
2.	The initiating state identifies the state with the jurisdiction to enforce the action.
3.	The state sends an ENF Request to the state identified.
4.	The responding state receives the transaction and builds a new case as appropriate.
5.	The responding state sends an Acknowledgment indicating where the case was sent and whether the information is complete or further information is necessary.
6.	The initiating state receives the Acknowledgment and processes appropriately.
7.	The responding state processes the case and uses ENF transactions to provide status information and outcome to the initiating state.

6.1.3.1 Building an ENF Request

Once a state has determined that interstate enforcement action is necessary, it generates an ENF Request to that state. Figure 6-5 shows the steps usually taken to build an ENF Request.

Figure 6-5: Steps for Building an ENF Request



Elements or indicators within state CSE systems may be identified for use as triggers to automatically generate ENF transactions. An example of a trigger for an ENF transaction is when the NCP lives in another state and stops making support payments.

6.1.3.2 Processing an ENF Request

Upon receiving an ENF Request:

1. build a new CSE case, if appropriate;
2. send an Acknowledgment advising the requesting state where the case was sent and whether the information is complete or further information is necessary for the next step of case processing; and
3. process the case and use ENF transactions to provide status information/outcome to the initiating state.

6.1.3.3 Building an ENF Response

Figure 6-6 shows the steps usually taken to build an ENF Response.

Figure 6-6: Steps for Building an ENF Response

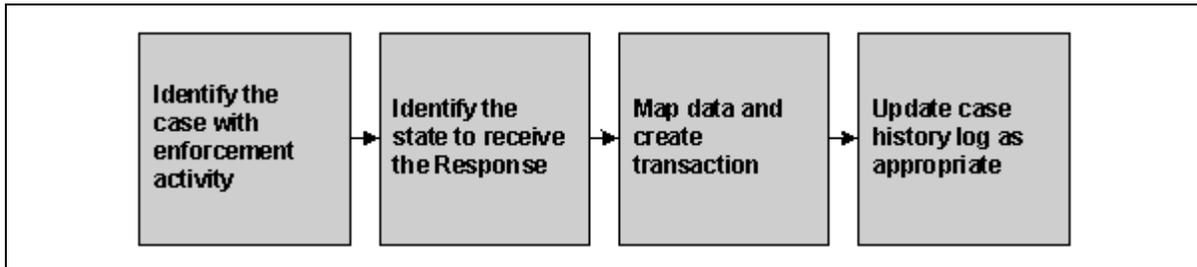


Chart 6-7 lists examples of elements or indicators within state CSE systems that can be identified for use as triggers to automatically generate ENF Responses.

CHART 6-7: EXAMPLES OF TRIGGERS FOR ENF RESPONSES	
1.	Contempt proceeding begun or a hearing has been scheduled.
2.	Identifies that a requested enforcement action or activity on an interstate case has been completed.

6.1.3.4 Processing an ENF Response

Upon receiving an ENF Response:

1. locate the case to which the ENF transaction refers;
2. load the information into the CSE system, update the case history log, refer to the caseworker as appropriate; and
3. determine the next case-processing action.

6.1.4 MANAGING STATE CASES (MSC)

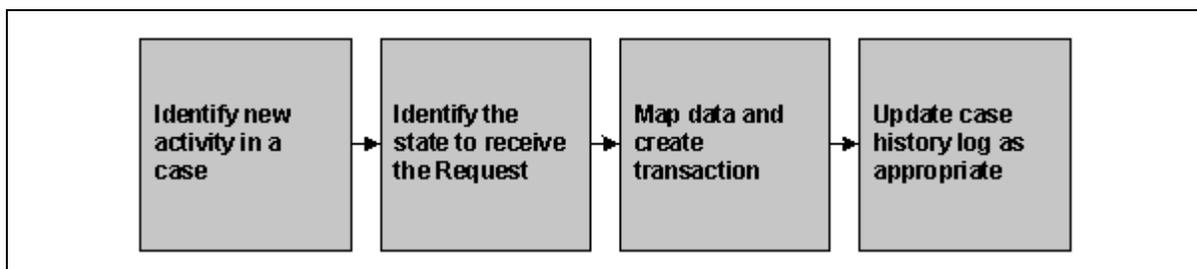
The MSC Function code supports many of the requirements that are not addressed by other Function codes. MSC transactions can be used to communicate a variety of actions including ongoing case activities, status update requests and responses, and notification of hearing dates. Standardization of transactions has been identified as essential for conducting interstate business as well as to increase automation. It is very important to follow the business usage rules outlined in the TFM for MSC transactions, so that all states understand what is being provided or expected when these transactions are received. Chart 6-8 provides a possible sequence of MSC activity.

CHART 6-8: SEQUENCE OF MANAGING STATE CASES ACTIVITY	
1.	State A receives and updates new information on an existing interstate case.
2.	State A sends the appropriate MSC transaction to state B.
3.	Upon receipt of the transaction, state B matches it with its existing CSE case.
4.	State B evaluates the data and then updates the CSE system as appropriate with the new information, (including the case history log).
5.	State B determines the next case-processing action.

6.1.4.1 Building a MSC Request

There are many valid MSC transactions presented in Appendix B. A MSC Request can either be automatically generated by the CSE system or manually initiated by the caseworker. For example, the MSC R GRUPD transaction (used to request the current status) generally would need to be worker-initiated. Figure 6-7 shows the steps usually taken to build a MSC Request.

Figure 6-7: Steps for Building a MSC Request



6.1.4.2 Processing a MSC Request

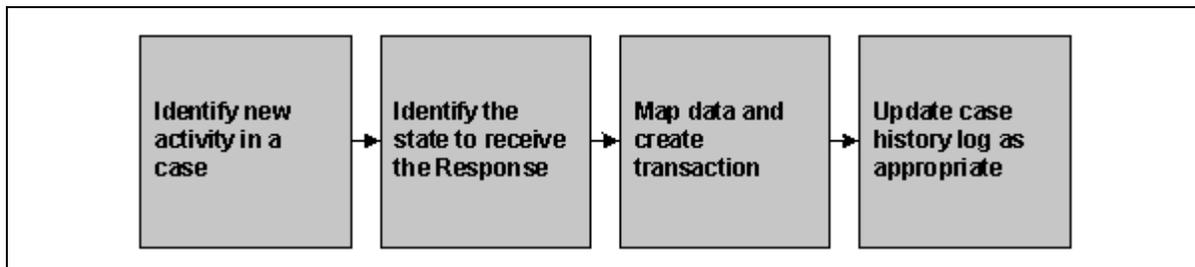
Upon receiving a MSC Request:

1. match it to an existing CSE case or determine action needed to provide information or services as requested;
2. update the case history log as appropriate;
3. act upon the Request; and
4. if appropriate, automatically provide information to the other state as needed.

6.1.4.3 Building a MSC Response

Typically, a Response is used subsequent to a Request being received from another state. However, a MSC Response can also be used to provide information or relay an activity that has occurred in an ongoing case. Figure 6-8 shows the steps usually taken to build a MSC Response.

Figure 6-8: Steps for Building a MSC Response



6.1.4.4 Processing a MSC Response

Upon receiving a Response:

1. match it to an existing CSE case, then determine the action needed to provide information or services as requested;
2. update the case history log as appropriate; and
3. automatically provide information to the other state as needed.

6.1.5 PATERNITY (PAT)

The PAT Function code supports many of the actions required to establish paternity in interstate cases. Chart 6-9 provides a possible sequence of paternity activity.

CHART 6-9: SEQUENCE OF PATERNITY ACTIVITY	
1.	The initiating state identifies a paternity action for which long- arm processing is inappropriate or has been unsuccessful.
2.	The initiating state sends a PAT Request.
3.	The responding state receives the Request and builds a new case as appropriate.
4.	The responding state sends an Acknowledgment advising where the case was sent and whether the information is complete or further information is necessary.
5.	The initiating state receives the Acknowledgment and processes appropriately.
6.	The responding state processes the case and uses a PAT Response to provide status information and outcome to the initiating state.

6.1.5.1 Building a PAT Request

After determining that long-arm processing is inappropriate or has been unsuccessful, the initiating state identifies the state with jurisdiction to establish paternity and generates a PAT Request to that state. Figure 6-9 shows the steps usually taken to build a PAT Request.

Figure 6-9: Steps for Building a PAT Request

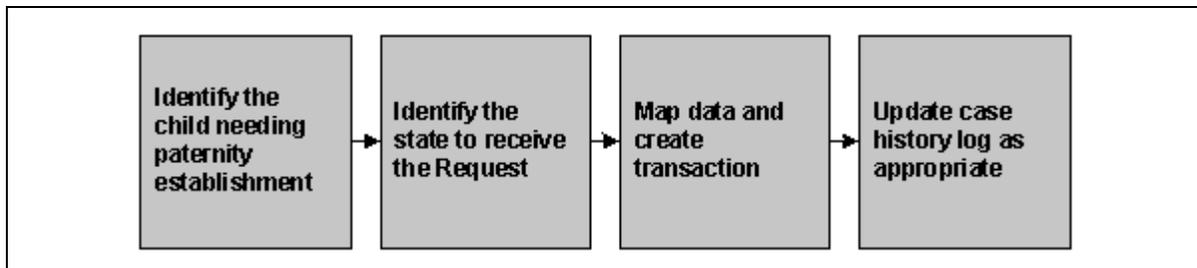


Chart 6-10 lists examples of elements or indicators within state CSE systems that may be identified for use as triggers to automatically generate PAT transactions.

CHART 6-10: EXAMPLES OF TRIGGERS FOR PAT REQUESTS	
1.	Identifies the child needing paternity establishment and the NCP lives out of state.
2.	Indicates that long-arm processing is inappropriate or has been unsuccessful.

6.1.5.2 Processing a PAT Request

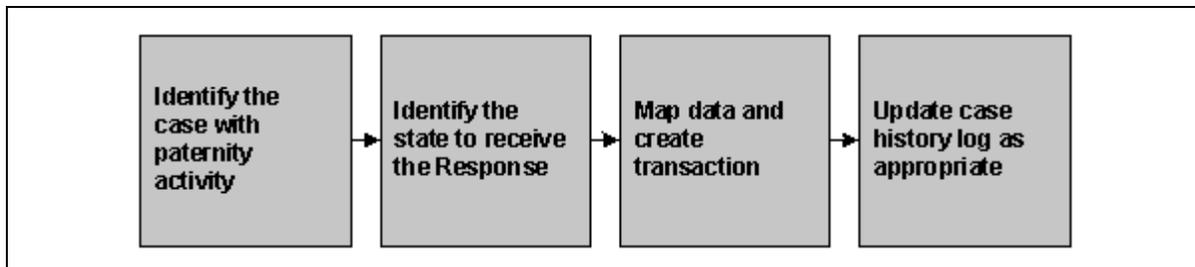
Upon receiving a PAT Request:

1. build a new CSE case or update an existing case, as appropriate;
2. if a new case is built, send an Acknowledgment advising the jurisdiction, e.g. county, to which the case was sent and whether the information is complete or further information is necessary for the next step of case processing; and
3. process the case and use PAT transactions to communicate with and provide status information and outcome to the initiating state.

6.1.5.3 Building a PAT Response

Figure 6-10 shows the steps usually taken to build a PAT Response.

Figure 6-10: Steps for Building a PAT Response



6.1.5.4 Processing a PAT Response

Upon receiving a PAT Response:

1. locate the CSE case to which the transaction refers; and
2. load the information into the appropriate area of the CSE system, update the case history log, or refer to the caseworker as appropriate.

Once a state has received and processed the PAT Response, next steps of case processing are determined.

6.1.6 ESTABLISHMENT (EST)

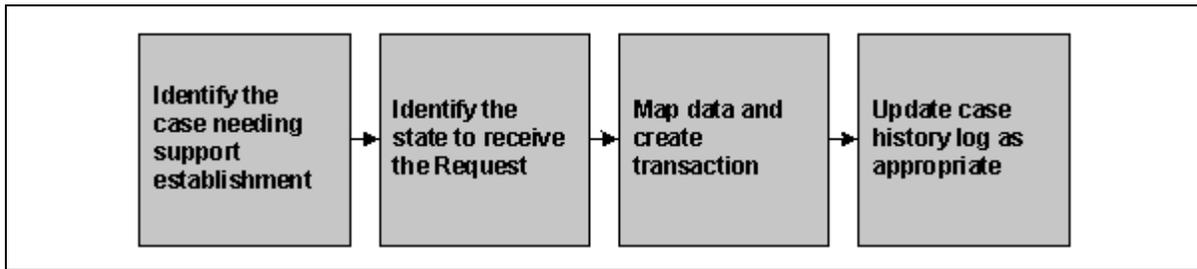
The EST Function code supports interstate establishment of support orders. Chart 6-11 illustrates a possible sequence of activities for support establishment.

CHART 6-11: SEQUENCE OF ESTABLISHMENT ACTIVITY	
1.	The initiating state identifies a case that needs interstate support establishment.
2.	The initiating state sends an EST Request.
3.	The responding state receives the Request and builds a new case as appropriate.
4.	The responding state sends an Acknowledgment advising where the case was sent and whether the information is complete or further information is necessary for the next step of case processing.
5.	The initiating state receives the Acknowledgment and processes it.
6.	The responding state processes the case and uses EST Responses to provide status information and outcome to the initiating state.

6.1.6.1 Building an EST Request

After identifying a case that needs support established by another state, the initiating state identifies the other state and generates an EST Request to that state. Figure 6-11 shows the steps usually taken to build an EST Request.

Figure 6-11: Steps for Building an EST Request



6.1.6.2 Processing an EST Request

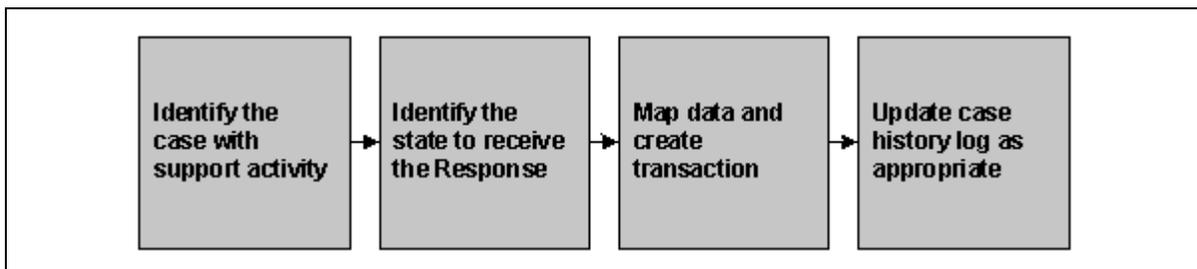
Upon receiving an EST Request:

1. build a new CSE case, if appropriate;
2. send an Acknowledgment advising the case number, FIPS code, etc. If additional information is required, send a transaction to the other state advising it of this fact; and
3. process the case and use EST transactions to provide status information and outcome to the initiating state.

6.1.6.3 Building an EST Response

After the responding state identifies an establishment activity that needs to be communicated to the initiating state, the generation of a transaction may be automated. Figure 6-12 shows the steps usually taken to build an EST Response.

Figure 6-12: Steps for Building an EST Response



6.1.6.4 Processing an EST Response

Upon receiving a Response:

1. locate the CSE case to which the transaction refers;
2. load the information into the case, update the history log, and refer to the caseworker, if appropriate.

Once a state has received and processed the EST Response, determine the next case-processing action.

6.1.7 COLLECTIONS (COL)

The COL Function code is used to notify another state that a tax intercept has been received and disbursed. There is one valid COL transaction, COL P CITAX, as identified in the Valid Transactions Table. Chart 6-12 provides a possible sequence of activities for the COL transaction.

CHART 6-12: SEQUENCE OF COLLECTIONS ACTIVITY	
1.	Initiating state receives tax intercept money or IRS intercept adjustment notice.
2.	Initiating state sends the COL transaction.
3.	Responding state receives COL transaction and processes for account adjustment.

6.1.7.1 Building a COL Transaction

Building a COL transaction should be automated based upon the receipt/disbursement of a federal or state tax offset payment. Figure 6-13 shows the steps usually taken to build a COL transaction.

Figure 6-13: Steps for Building a COL Transaction

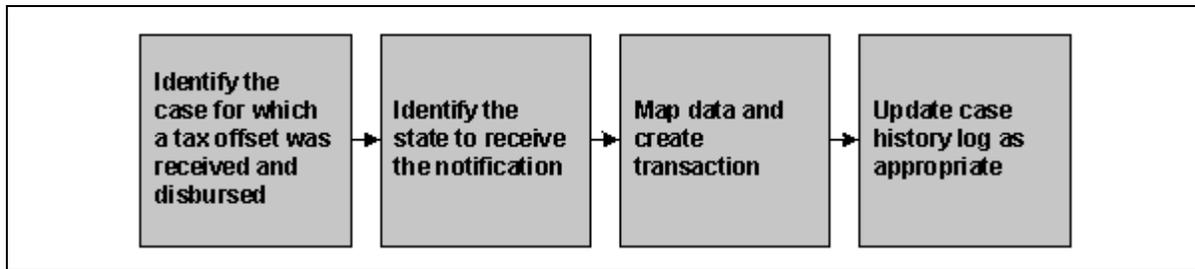


Chart 6-13 lists examples of elements or indicators within state CSE systems that can be identified for use as triggers to automatically generate the COL transaction.

CHART 6-13: EXAMPLES OF TRIGGERS FOR COL TRANSACTIONS	
1.	Identifies money received from a federal or state tax offset that have been disbursed on an interstate case.
2.	Identifies when a negative (or other) adjustment of the original offset is received.

6.1.7.2 Processing a COL Transaction

Upon receiving a COL transaction:

1. locate the CSE case to which the transaction refers;
2. identify the information contained within the transaction;
3. process and update the account as appropriate; and
4. update the case history log as appropriate.

6.1.8 ACKNOWLEDGMENTS

Acknowledgment transactions support the federal requirement in the Code of Federal Regulations (CFR) at 303.7(a)(2). This section of the CFR requires the state receiving an interstate referral to acknowledge its receipt and provide information to the sending state, such as the case number, and where the case was sent for action. Acknowledgments are also used to satisfy the requirements in the CFR at 303.7(a)(3) that a responding state advise the initiating state whether there is additional information needed to process the case or whether the case referral is complete.

The TFM provides guidance on the specific use and processing of Acknowledgment transactions. Due to the diversity in state laws and policies, states need to consider when Acknowledgments are to be generated, and the actions required, if any, when an Acknowledgment is received.

6.1.8.1 Building an Acknowledgment Transaction

States are strongly encouraged to automate the building of Acknowledgment transactions. For example, the CSE system can be programmed to automatically generate an Acknowledgment when a new responding interstate case is built. Figure 6-14 illustrates possible steps to build an Acknowledgment.

Figure 6-14: Steps for Building an Acknowledgment

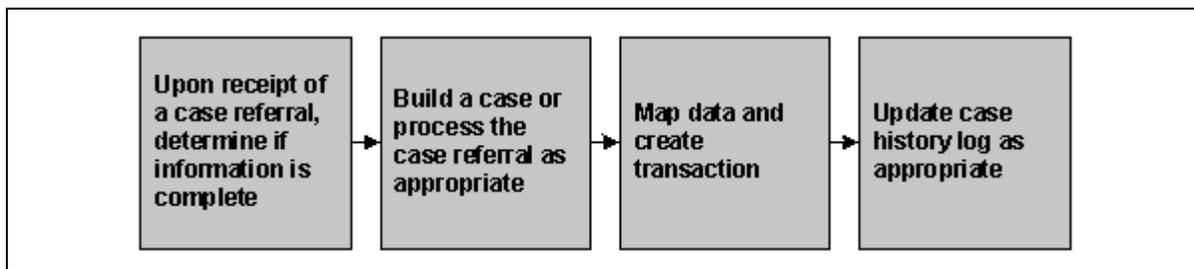


Chart 6-14 lists examples of elements or indicators within state CSE systems that can be identified for use as triggers to automatically generate Acknowledgments.

CHART 6-14: EXAMPLES OF TRIGGERS FOR ACKNOWLEDGMENTS	
1.	Identifies that a responding interstate case has been added to the CSE system.
2.	Identifies whether the referral is complete or incomplete.

6.1.8.2 Processing an Acknowledgment Transaction

Upon receiving the Acknowledgment:

1. identify if additional information is requested;
2. provide the information requested;
3. refer to a caseworker as appropriate and/or take the next case-processing action; and
4. update the case history log, as appropriate.

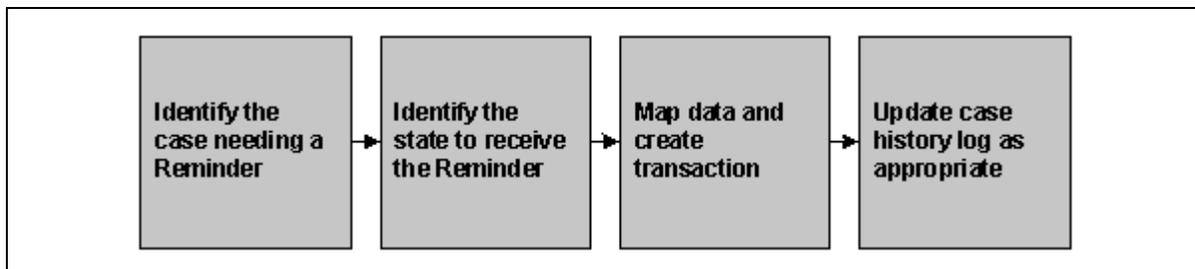
6.1.9 REMINDERS

Reminder transactions are used to notify another state that a response, action, or attachment was expected. Reminders are used for multiple business processes (Function codes).

6.1.9.1 Building a Reminder Transaction

A Reminder transaction can, in many instances, be generated by the CSE system with no manual intervention. This can be accomplished by a system recognizing that information or action requested by another state has not been received within a specified timeframe. Figure 6-15 shows the steps usually taken to build a Reminder.

Figure 6-15: Steps for Building a Reminder



6.1.9.2 Processing a Reminder Transaction

Upon receiving a Reminder:

1. identify whether documentation on the CSE case has been sent;
2. identify whether the action has been completed;
3. respond to the Reminder or refer to a caseworker for action as appropriate; and
4. update the case history log.

6.1.10 CANCELS

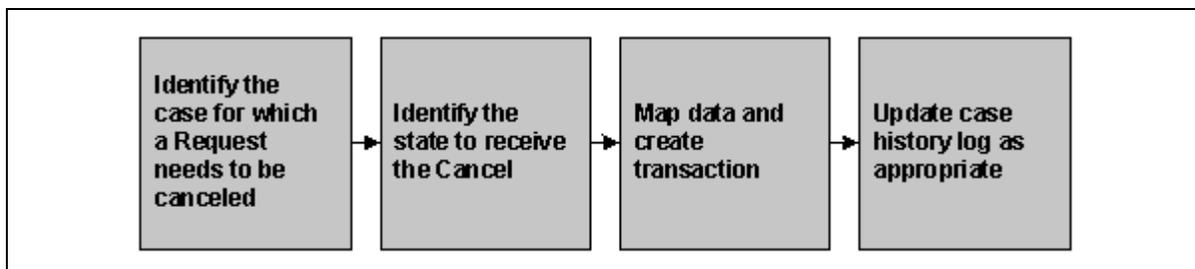
Cancel transactions are used to cancel previously issued Requests. Cancels are usually used when a Request has been sent in error, e.g., to the wrong state. This transaction is used with multiple business processes (Function codes).

6.1.10.1 Building a Cancel Transaction

The caseworker who recognizes that a transaction was generated in error generates a Cancel transaction in most instances.

Figure 6-16 shows the steps usually taken to build a Cancel transaction.

Figure 6-16: Steps for Building a Cancel



6.1.10.2 Processing a Cancel Transaction

Upon receiving the Cancel transaction:

1. identify the Request previously received, to which the Cancel refers;
2. determine the processing of the Request, take action on the case or Request;
3. refer to a caseworker if appropriate; and
4. update the case history log.

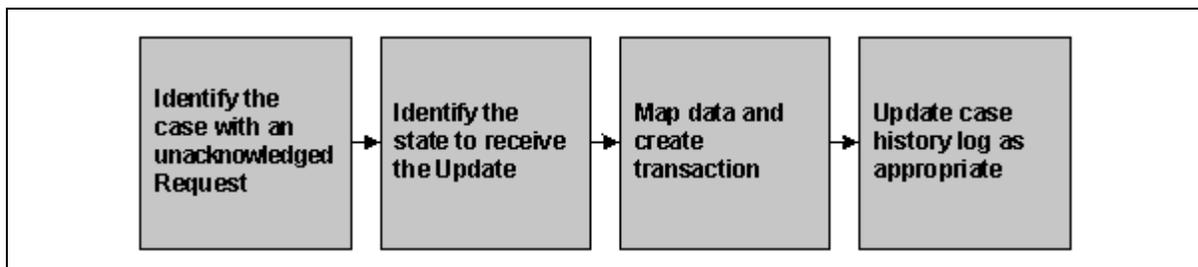
6.1.11 UPDATES

Update transactions are used to modify a previously sent Request. Updates are used with multiple business processes (Function codes).

6.1.11.1 Building an Update Transaction

Building an Update transaction is generally accomplished by the CSE system with no manual intervention. Figure 6-17 shows the steps usually taken to build an Update.

Figure 6-17: Steps for Building an Update



6.1.11.2 Processing an Update Transaction

Upon receiving an Update transaction:

1. assuming the Update is for a case already established on the CSE system, add the new information to the case and refer to the worker as appropriate;
2. if the Update refers to a case sent to the Central Registry, which is pending additional information, determine if this Update is the requested additional information. Take the appropriate action, e.g. add the case to the CSE system or, if the Update does not provide the necessary information, send another Request to the initiating state that additional information is still required; and
3. update the case history log if available.

6.2 Summary

The goal of the CSENet 2000 application is to expedite interstate case processing and the collection of child support payments by exchanging automated transactions via the OCSE Network. OCSE provides a variety of resource materials to assist states to facilitate communications and conduct interstate IV-D case activities between diverse CSE systems. This document along with the TFM, Data Block Record Layout, and Valid Transactions Table should be used by states to enhance their opportunities to automate transaction processing.