

CARES Implementation Phase

Rollout 2 – Interface File Layout & Submission Standards

January 18, 2023

3:00 p.m. – 4:00 p.m.

DAVE YOST

Objectives & Logistics

- Objectives
 - Provide Rollout 2 Status Update
 - Discuss Certification File Layout Standard
 - Discuss Interface File and Secure File Transfer Standards
- Logistics
 - Session will be recorded and made available along with PowerPoint & Q&A
 - Send questions to AGOCARES@OhioAGO.gov
 - Q&A Panel is available if needed



Proposed Agenda

Agenda Items	R2 Recommended Presenter
Welcome Interface Standardization & Data Quality	Lucas Ward
Rollout 2 Overview	David Montgomery
CARES Client Certification File Layout Standard Interface File & SFTP Standards Adoption Timeline	Ken Simmons
File Transfer Standard	Ken Simmons
Open Q&A Wrap Up	Lucas Ward



Welcome & Interface Standardization & Data Quality,

Lucas Ward

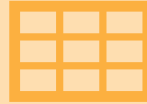
Interface Standardization



Where are we Today?

Currently, CUBS processes over 70 unique file formats

Each unique file format has its own processing stream for essentially the same information



Where do we want to be?

CARES is moving to standardized file formats.
This standardization allows for the:

- Streamlining and simplification of many processes
- Staff to focus on bringing other services to the application

Data Quality

AGO relies on clients to provide the information necessary for quality customer service/coordinated collection efforts

- **Opportunity** – Improve identification/ quality of service to indebted parties with multiple accounts. Two key certification file fields necessary for this improvement:

CRN – Client Reference Number



- **What it does?**
 - Provides account-level detail to communicate what is owed and why
- **Why is it important?**
 - Many indebted parties have multiple accounts certified to AGO and details are necessary for each account

DRL – Data Reference Line



- **What is it?**
 - SSN, FEIN, etc.
- **What it does?**
 - Attaches multiple accounts/CRNs to a single indebted party
- **Why is it important?**
 - Allows indebted parties to understand the total obligation
 - Allows AGO/External Partners to coordinate communication/efforts to resolve the debt

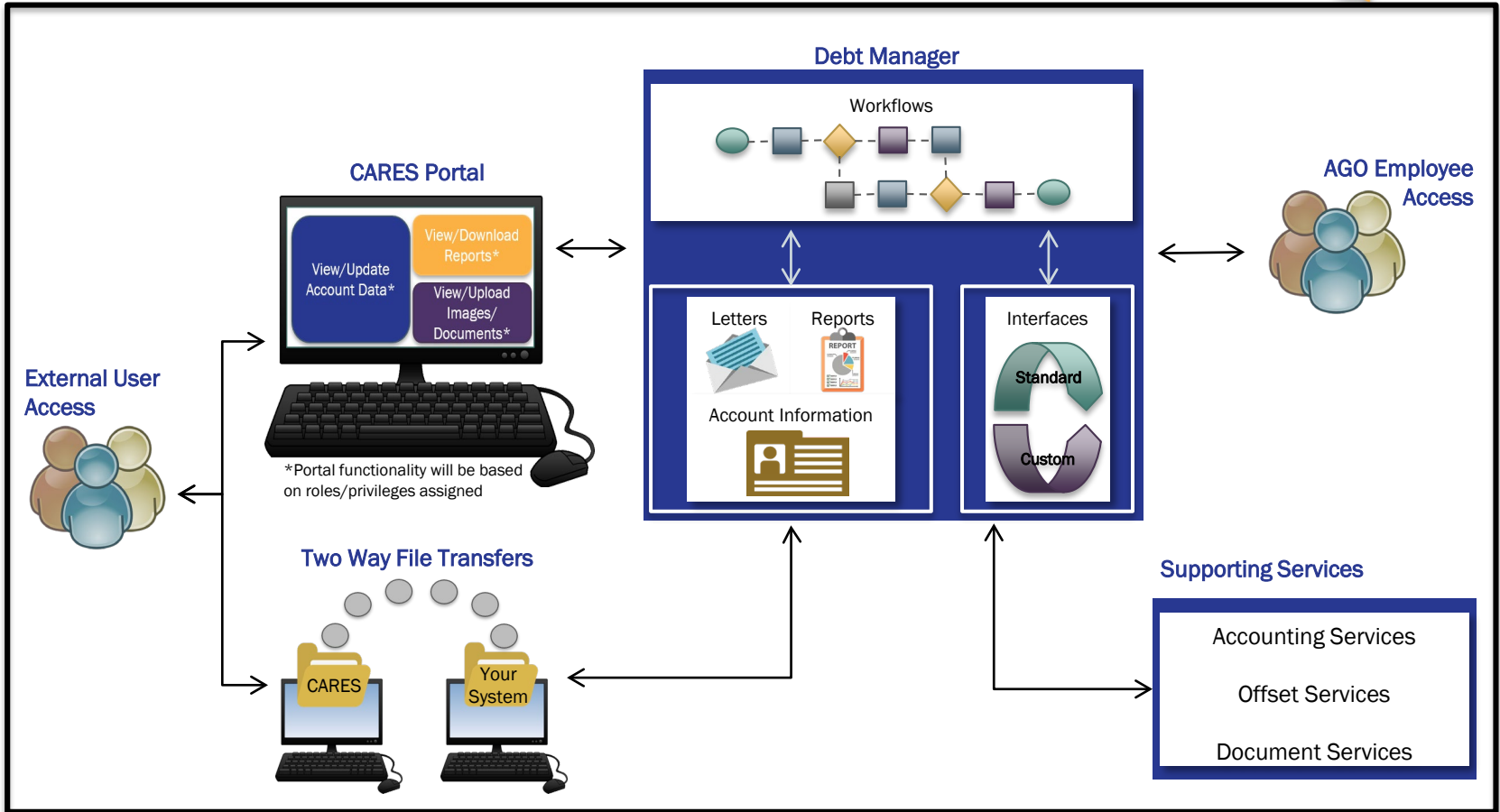
- **Both fields are critical to customer service**
- **Both fields are critical to successful collection on your behalf**
- **Both fields are critical to Rollout #1 (CUBS vs DM)**

The background features a decorative grid pattern on the left side, consisting of thin, light gray lines that curve and fade out towards the center. A solid, light gray horizontal bar spans across the middle of the slide, positioned behind the text.

Rollout 2 Overview,

David Montgomery

Solution Overview



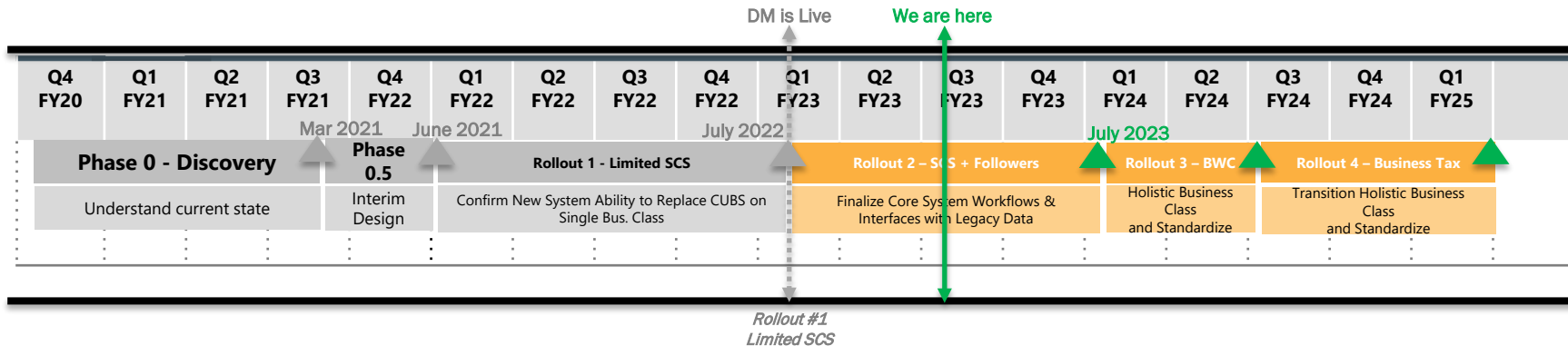


High Level Program Timeline

A phased implementation strategy minimizes risk by incrementally building out core system functionality in a logical, sequential manner

Initial Rollout

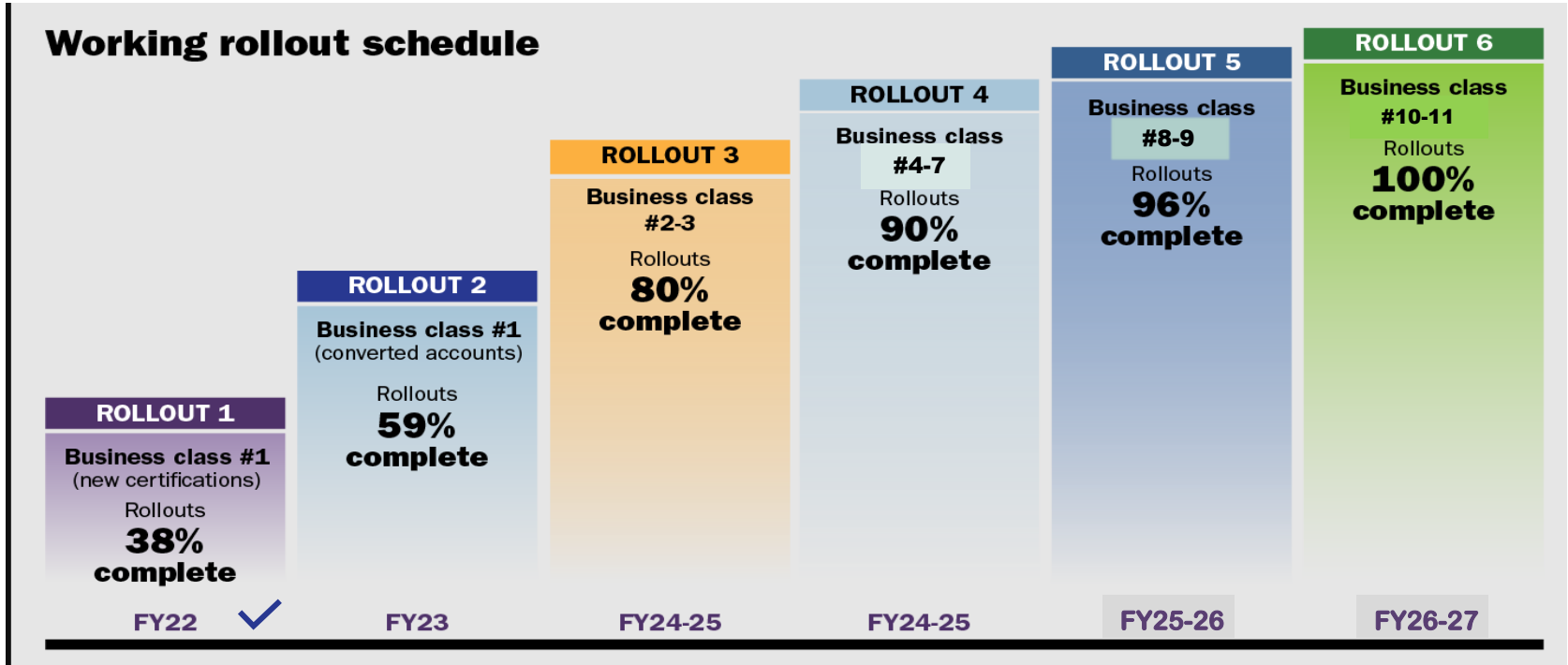
- **Lay the Foundation** – Core functionality that will benefit all aspects of the business, including common Workflows, Integrations, Letters, and Reports
- **Add the Business but Keep it Simple** – Leverage the foundation + a small but meaningful layer of business class-specific functionality
 - **Day forward** – Focus on new certifications before adding conversion of old data
 - **Internal Process Only** – Focus on internal workflows before adding external partner workflows





Implementation Approach

Our implementation plan is a buildup of the holistic system as we complete each rollout. The entirety of common workflows, interfaces, letters and reports are considered as we build the solution resulting in 80% of the system being complete at end of Rollout #3.



Scope and Objectives (Program)

Program Scope

Our CARES Program Strategy continues to focus on implementing the new Collections System incrementally. We will phase in all supported clients by business class while focusing on validating that Debt Manager can handle our new certifications and legacy accounts.

Program Objective (Rollout #1):

- Implement remaining SCS business class clients and focus on new certifications in Debt Manager only
- Verify that Debt Manager is configurable without customization, and that we can successfully operate new certifications in the new system

Program Objective (Rollout #2):

- Implement the remaining SCS business class clients
- Support all new Rollout #1 certifications and migrate all SCS legacy accounts from CUBS
- Validate that Debt Manager can handle legacy accounts
- Implement a new portal for SCS report delivery
- Enhanced capability to apply select account updates via portal
- Full SCS processing on Debt Manager and discontinue via CUBS

Scope and Objectives (Business Class)

SCS Business Class Objective

Rollout #2 includes the remaining 32 State Client Services Clients (SCS) not implemented in mid July 2022. Clients in this 2nd group will use the new Debt Manager System as of July 10, 2023 and no longer use CUBS. Legacy accounts will be converted for all SCS clients including those that were implemented last July 2022 for processing new certifications only.

Key activities to be performed in this phase includes implementing:

- The remainder of core Debt Manager workflows required for all business classes reaching 59%
- The secure file transfer protocol standards and common certification file layouts
- The primary interfaces for all remaining SCS agencies (Certifications, Financial Inbound/Outbound)
- Engagement with Third Party Vendors and Special Counsels
- Data migration of SCS accounts from CUBS into Debt Manager

Rollout #2 – Data Migration Approach

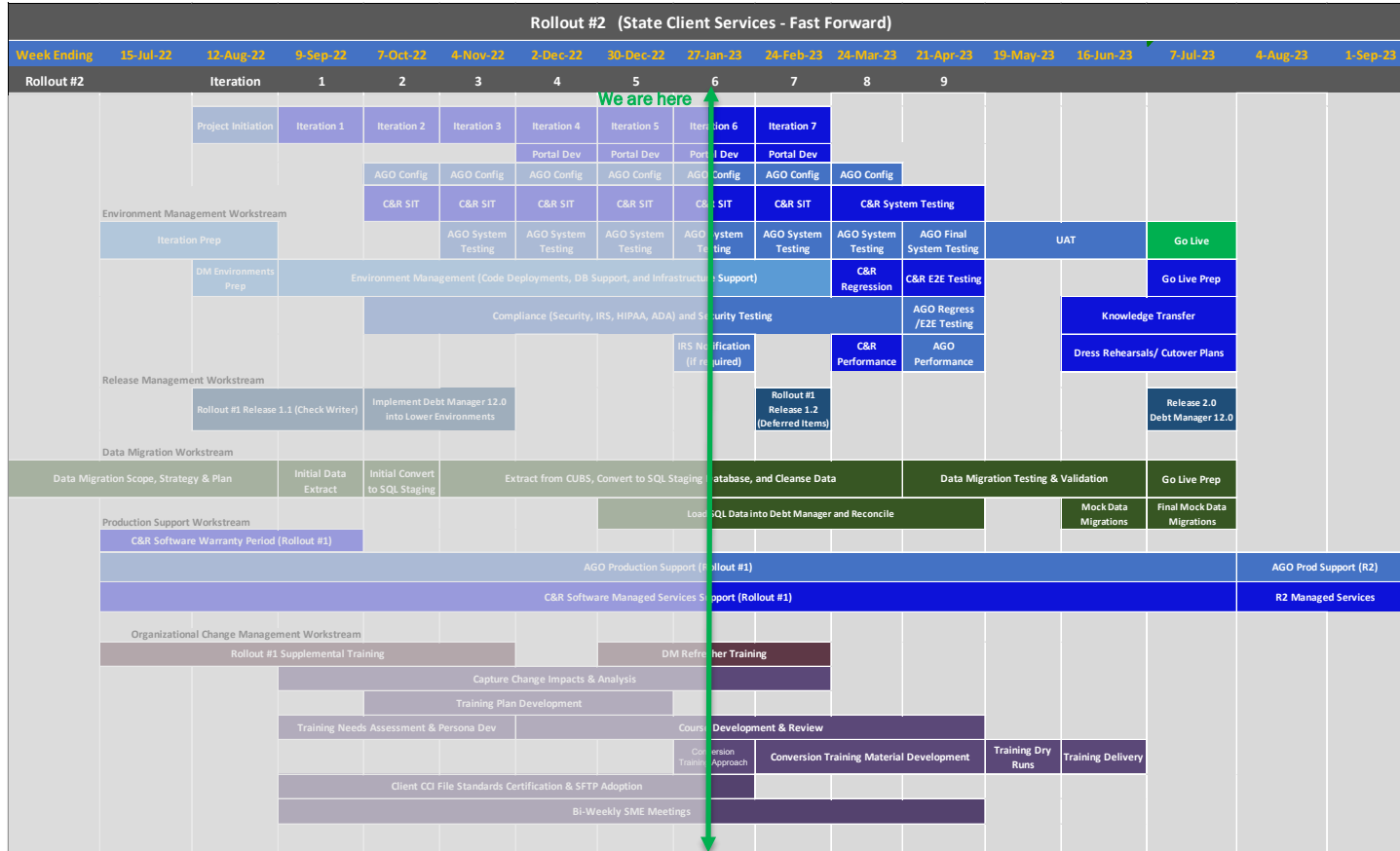
Our data migration approach was created with the intent to ensure legacy CUBS data is extracted in a quality manner for uploading into Debt Manager. Our objective is for this to be seamless with limited impact on our clients. The new Debt Manager System enforces quality editing, formatting and standards upfront (unlike CUBS), so our approach is to apply these data rules when new certifications are submitted for loading into the new Debt Manager System for minimizing impact on our clients.

The following are for your awareness in our approach:

- Conversion of data from CUBS to Debt Manager will take place in the days leading up our planned launch. During that time, there may be a freeze of sending CUBS files in the old layout while the CUBS data is being converted. We will communicate any anticipated freeze times in advance; however, **you should be prepared to send any new certifications using the new CCI file layout.**
- **We are currently identifying and applying data cleansing rules** against existing CUBS data to ensure the migrated data meets the standards of the new system. We're also working with a cross-functional team to compare data between CUBS and Debt Manager to ensure all data is valid and mapped appropriately prior to the launch of Debt Manager.
- Due to the complexities of our infrastructure and logistics involved, **we do not anticipate active involvement from you** during our User Acceptance Testing.
- After launch, the **new CCI file layout will be the only accepted file layout.** If any data validation or formatting issues are present, the file will be rejected and you will be contacted directly to help correct any issues.



Rollout #2 – Timeline Update

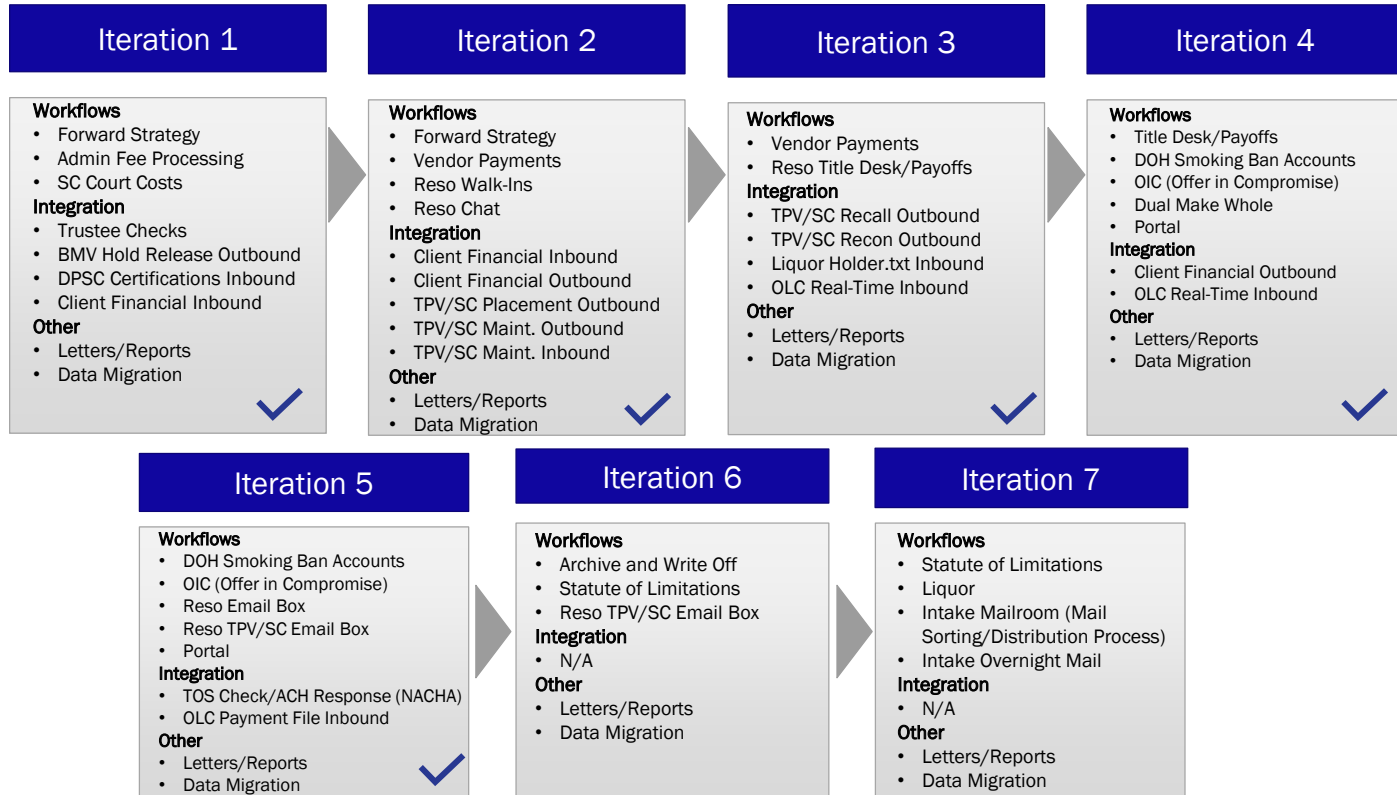


We are here



Rollout #2 – Iteration Plan & Scope

Scope is sequenced and prioritized in the Iteration Plan based on risk, business value, and their dependency on other functionality and priorities.





CARES Client Certification File Layout,

Ken Simmons

Why is there a new Client Certification Layout Standard?

- A primary objective of the CARES Program is to reduce or eliminate duplicative and non value add activities
- Implementing a standard certification file layout allows for increased automation and reduces support for multiple variations freeing staff to bring value in other areas
- The standard layout can be used for multiple business classes and client agencies allowing the AGO to achieve Economies of Scale





What is the major change to the client certification file?

- The **number of fields** in the certification file **have increased** from 43 to 176 to allow it to be used across multiple business classes and clients
- While only 5 fields are required, **Clients are STRONGLY encouraged to populate as much data as possible** which will enable the AGO to collect the certified debt

Field Name	Required
Client ID	Y
Client Reference Number (CRN)	Y
Debtor Reference Line (DRL)	Y
Last Name / Business Name	Y
Total Certification Amount	Y

Client Certification File Review – Field Definitions Tab



CCI Template.xlsx - Excel Herschel Elkins

File Home Insert Draw Page Layout Formulas Data Review View Help Power Pivot iManage Share

H36 Values containing any character other than a number or decimal are invalid.

Important Instructions

Please read and adhere to the following instructions to ensure your file does not get rejected.

Enter certification data in the first tab labeled "Template". Do not add or remove any columns. If you do not have data for an optional field (Required = "N"), then please leave it blank. Fields with definitions and examples are provided below. Required fields are shown in bold.

* Any fields containing invalid values, as defined in the "Data Validation" column in the table below, will result in the file being rejected so corrections can be made and the file resubmitted.

Although this template is in Excel format, it is important that the submitted file be in "Comma-Separated Value" (CSV) format to prevent it from being rejected.

To save as a CSV, go to "File", "Save As". Set the "Save as type" dropdown to "CSV (Comma-delimited) (*.csv)", and save the file with the name: **CCI_IB_{ClientID}_{YYYYMMDD}.csv**. Substitute {ClientID} with your Client ID and {YYYYMMDD} with the actual submission date.

Position	Field Name	Max Length	Required	Format	Definition / Formatting	Example	* Data Validation
1	Client ID	8	Y	Text	This is the Client ID Number used by AGO and will be provided to you prior to certification. If you do not know your Client ID, please ask for your Client ID prior to submission.	BMV100	Values that do not match your Client ID are invalid. Blanks are invalid.
2	SSN/EIN	16	N	Numeric	The SSN/EIN of the debtor. It should only consist of 9 digits. No dashes are needed. Anything less than 9 digits will be 0-padded on the left up to 9 digits.	111223333	Values greater than 9 digits are invalid.
3	Client Reference Number (CRN)	40	Y	Text	This number should be the identification number the Client uses to identify the account.		Blanks are invalid.
4	Debtor Reference Line (DRL)	20	Y	Text	This field is used to identify the Individual, could be SSN or drivers license number or any identifying number that is associated with the individual.		Values containing only "0" and/or "-" characters are invalid.
5	CRN2 / Invoice #	40	N	Text			This is a required field For FFR clients.
6	Commercial Flag	1	N	Y/N	Set to "Y" to indicate the debtor is an organization. Leave blank if the debtor is an individual.		Values other than "Y", "N" or blank are invalid.
7	Last Name / Business Name	100	Y	Text	Debtor's last name only or business's full name. Do not use any punctuation.	JOHN SMITHS	Blanks are invalid.

Ready Template **Field Definitions**

Critical Instructions to properly create Certification File

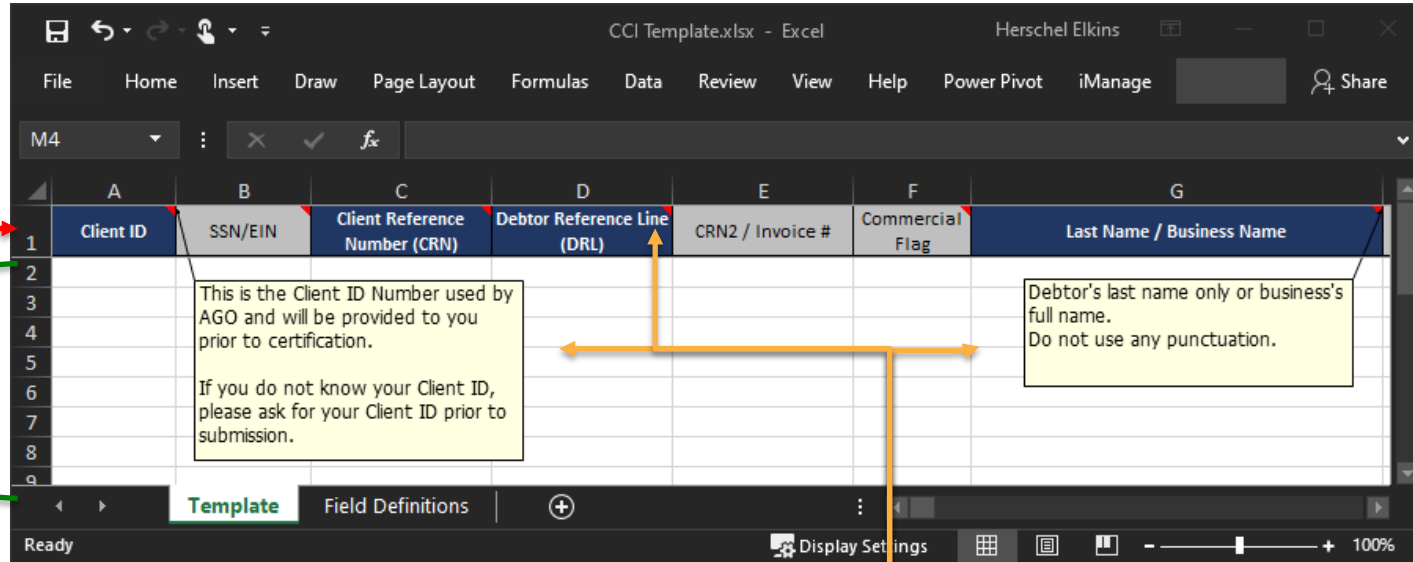
Detailed layout with definitions, examples and applicable data validation rules

Note: There are 2 tabs. The Template tab is where certification data is entered

Client Certification File Review – Template Tab

**Header Row 1
DO NOT CHANGE**

**Rows 2 and beyond
Enter Certification
Data**

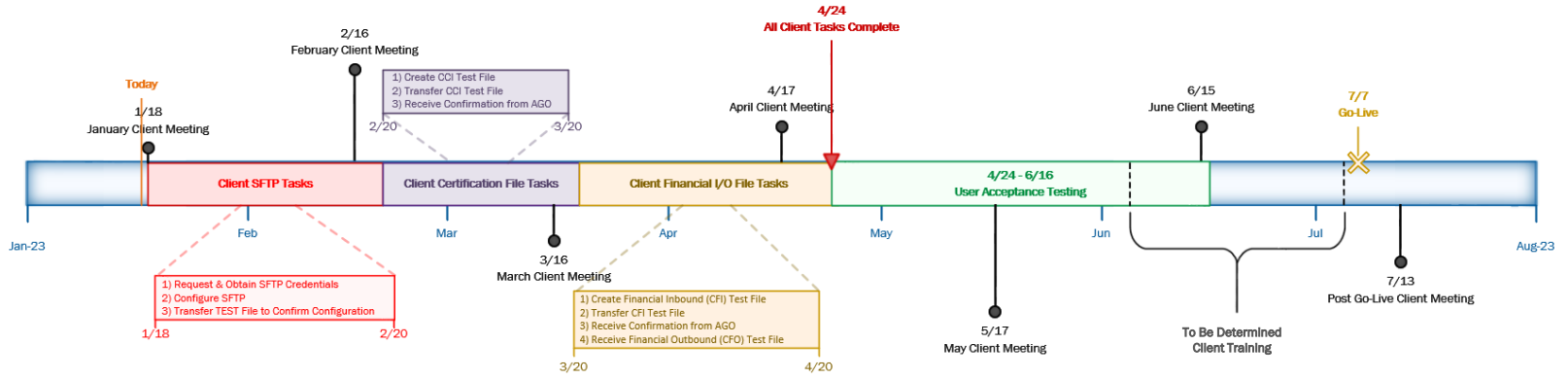


	A	B	C	D	E	F	G
1	Client ID	SSN/EIN	Client Reference Number (CRN)	Debtor Reference Line (DRL)	CRN2 / Invoice #	Commercial Flag	Last Name / Business Name
2							
3							
4							
5							
6							
7							
8							
9							

Note: Many cells in Header Row 1 have comments indicated by ▼ to assist client on data entry



CARES Interface & SFTP Standards Adoption Timeline



- **February 20, 2023**
 - Client SFTP Tasks Complete
 - Request & Obtain SFTP Credentials
 - Configure SFTP application
 - Transfer TEST File using SFTP to Confirm Configuration
- **March 20, 2023**
 - Client Certification Tasks Complete
 - Create & transfer CCI TEST File via SFTP application
 - Receive Confirmation from AGO
- **April 20, 2023**
 - Client Financial I/O Tasks Complete
 - Create & transfer Financial Inbound (CFI) Test File via SFTP application
 - Receive Confirmation from AGO
 - Receive Financial Outbound (CFO) Test File
- **April 24, 2023**
 - All Client Tasks Complete
- **April 24, 2023**
 - User Acceptance Testing begins
 - With limited Client participation
- **June – July, 2023**
 - Client Training begins
 - Client Training is being finalized and will likely be done via Webex
- **June 19, 2023**
 - Go Live Prep begins
 - SCS Debt Manager system prepared for launch and final SCS data from CUBS being setup for migration to Debt Manager at launch time

Client Certification File Layout Standard

- For Support
 - Contact Collections Enforcement Operations at 614-644-6709 or Operations_Group@OhioAGO.gov
- The Client Certification Interface (CCI) Template is located on the CARES Program Website – Resources Page – CARES Debt Manager Standards tab.

<https://www.ohioattorneygeneral.gov/Business/Collections/CARES-Program/Resources>



CARES File Transfer Standard,


Ken Simmons

CARES File Transfer Standard

- AGO CARES Debt Manager will require file transfers via the Secure File Transfer Protocol (SFTP)
- All Rollout 2 Client Agencies must install and configure a client application
- SFTP
 - Industry standard for secure file transfers
 - Applies safeguards at all vulnerable points throughout the file transfer process
 - Ensuring highest level of protection against theft of confidential personal information (CPI)
 - Maintains IRS compliance



CARES File Transfer Standard

- Many SFTP applications exist. One such application is  **FileZilla**
 - Free to download and use
 - **You may be required to receive approval from your agencies IT department**
- Before using SFTP you **MUST** receive credentials (Username/Password) from the AGO
 - Contact Collections Enforcement Operations at 614-644-6709 or Operations_Group@OhioAGO.gov
- The CARES File Transfer Configuration Guide will be provided after this presentation



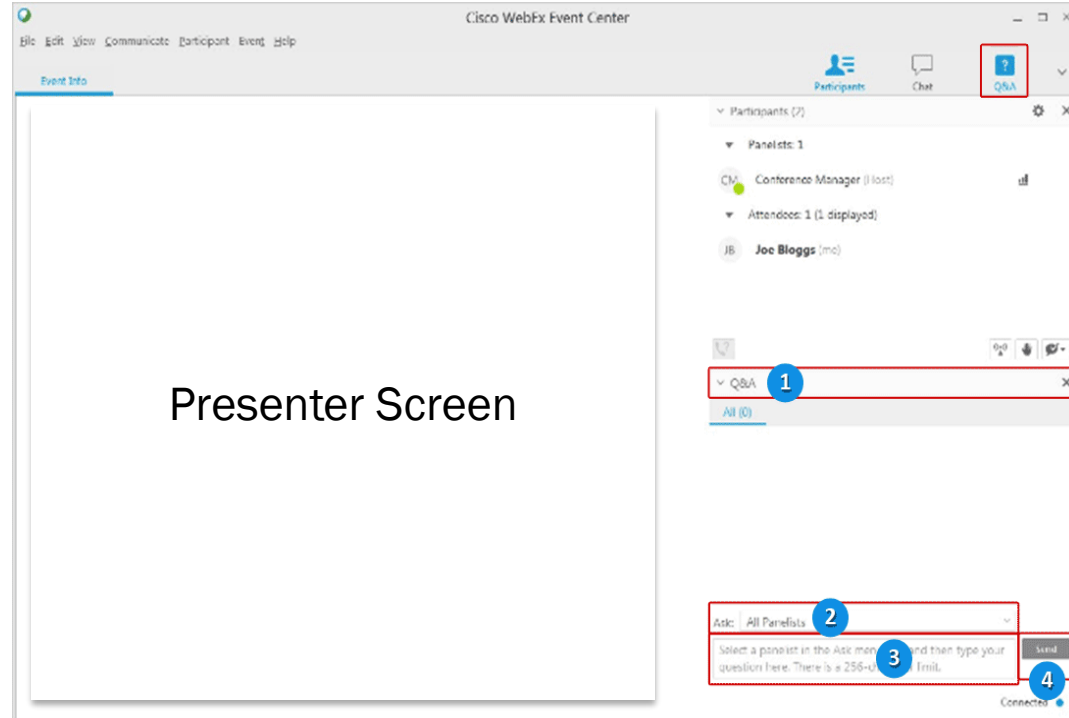
Wrap-Up,

Lucas Ward

Question & Answer Session

How to submit questions:

1. Open the Q & A panel.
2. In the Ask drop-down list, select the recipient
3. On the Q & A panel, type your question in the text box.
4. Select Send.



During the session, please send your questions to all panelists.

CARES Resources

The CARES leadership team is dedicated to transparency; In addition to the development of engagement strategies intended to keep stakeholders informed, the following resources and channels of communication are always available to those impacted by the CARES Program.

CARES Mailbox

The AGOCARES mailbox will be used by the program team to distribute CARES communications to stakeholders and respond to inquiries regarding the Program.



CARES Website

This website serves as your resource for the most up-to-date Program information and updates

Stakeholder Contacts

Stakeholder POCs serve as a direct resource, providing a channel of communication between each audience and the Program team

Have questions, feedback or concerns? Please email the AGO's CARES Program team at AGOCARES@OhioAGO.gov or visit the CARES Website at <https://www.ohioattorneygeneral.gov/Business/Collections/CARES-Program/About>

Thank You!

