CARES Implementation Phase

Rollout 1 – Client Certification File Layout & Submission

January 27, 2022

10:30 a.m. – 12:00 p.m.

DAVE YOST

OHIO ATTORNEY GENERAL

Objectives & Logistics

- Objectives
  - Discuss Pre-Processing Strategy
  - Provide CARES Certification & SFTP Standards
  - Provide Adoption Timeline
- 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

Agenda

Agenda Items	Presenter
Welcome Interface Standardization & Data Quality	Lucas Ward
Rollout 1 Pre-Processing Strategy	Roy Robinson
CARES Client Certification File Layout Standard File Transfer Standard	Ken Simmons Herschel Elkins
Client Certification & SFTP Standards Adoption Timeline Open Q&A Wrap Up	Herschel Elkins

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 <u>standardized file formats</u>. 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

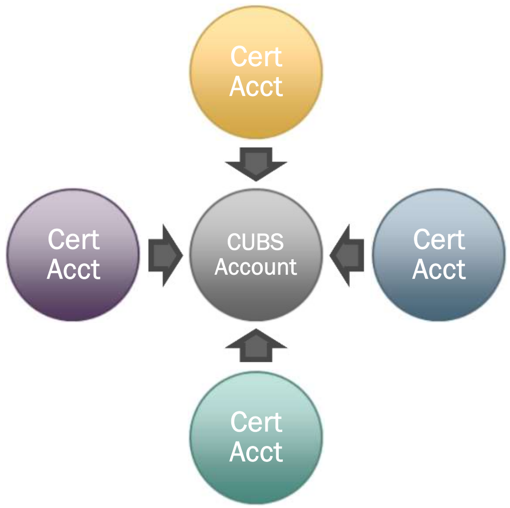
- What is it?
  - SSN, FEIN, etc.
- What it does?
  - Attaches multiple accounts/CRNs to a single indebted party
- Why is it important?
  - Allows indebted parties to understand the total obligation
  - Allows AGO/External Partners to coordinate communication/efforts to resolve the debt

- 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)

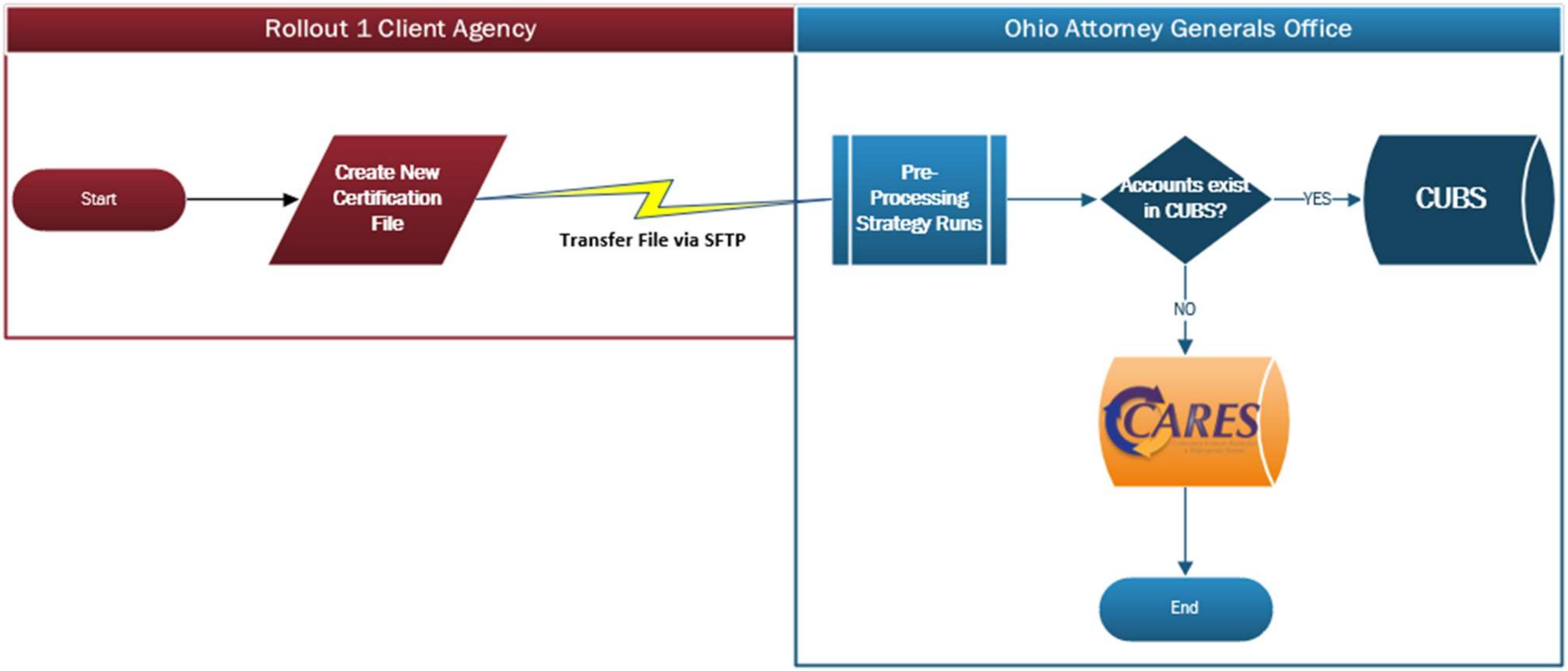
CARES Rollout 1 Pre-Processing Strategy, Roy Robinson

Why is there a Pre-Processing Strategy?

- For Rollout 1 Go-Live in Summer of 2022
  - R1 Client Agencies must begin sending ALL certifications using the new CARES Client Certification File Layout Standard
  - Accounts already in CUBS will packet (or group) and those accounts will remain in CUBS until Rollout 2
  - New accounts will be certified into CARES Debt Manager



Rollout 1 Certification Process Flow



CARES Client Certification File Layout Standard, 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

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.

CARES Collections Account Resolution & Enforcement System

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**		**Y**	**Text**	Debtor's last name only or business's full name.	JOHN SMITHS	Blanks are invalid.

Template | Field Definitions

Ready

Critical Instructions to properly create Certification File

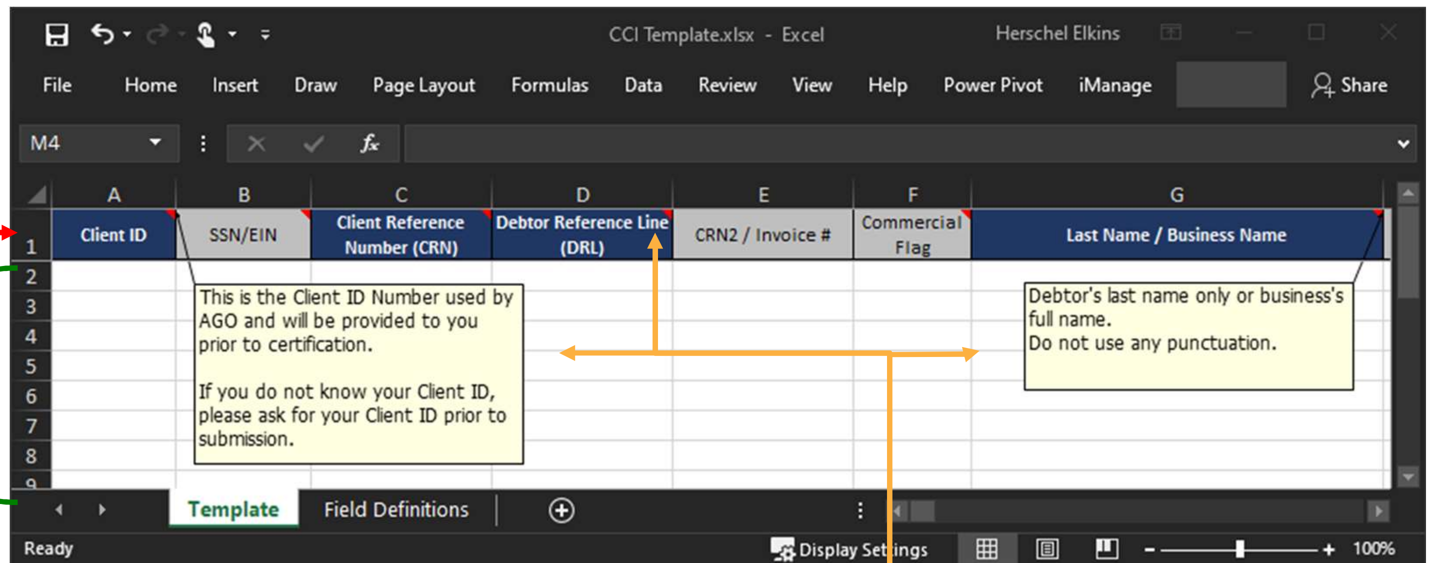
Detailed layout with definitions, examples and applicable data validation rules

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



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

Client Certification File Layout Standard

- For Support
  - Contact Collections Enforcement Operations at 614-644-6709 or Operations_Group@OhioAGO.gov
- Client Certification Template will be provided after this presentation and will be available on the CARES Program Website – Resources page

CARES File Transfer Standard, Herschel Elkins

CARES File Transfer Standard

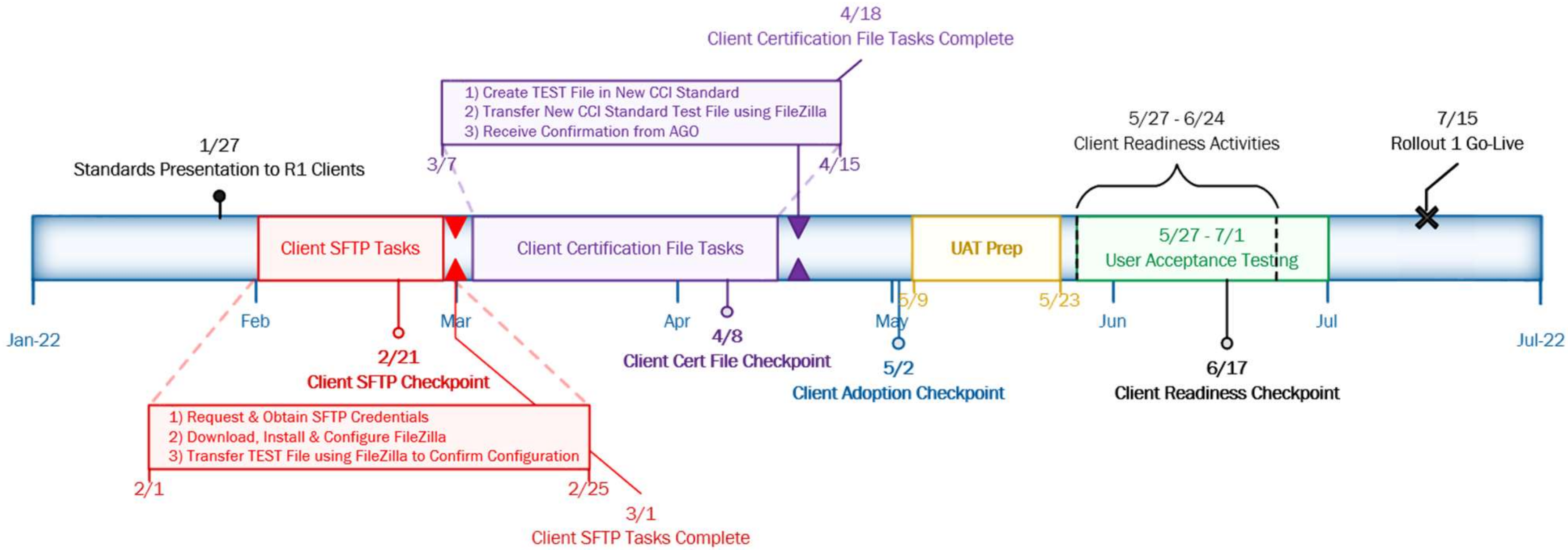
- AGO CARES Debt Manager will require file transfers via the Secure File Transfer Protocol (SFTP)
- All Rollout 1 Client Agencies must install and configure an SFTP client application
- SFTP
  - Industry standard for secure file transfers
  - Applies safeguards at all vulnerable points throughout the 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

Client Interface & SFTP Standards Adoption Timeline, Herschel Elkins

CARES Client Interface & SFTP Standards Adoption Timeline



Contact Collections Enforcement Operations at 614-644-6709 or Operations_Group@OhioAGO.gov

CARES Client Interface & SFTP Standards Adoption – Key Dates

- March 1, 2022
  - Client SFTP Tasks Complete
    - Request & Obtain SFTP Credentials
    - Download, Install & Configure FileZilla
    - Transfer TEST File using FileZilla to Confirm Configuration
- April 18, 2022
  - Client Certification Tasks Complete
    - Create TEST File in New CCI Standard
    - Transfer New CCI Standard Test File using FileZilla
    - Receive Confirmation from AGO
- May 2, 2022
  - Final Client Adoption Checkpoint

Question & Answer Session

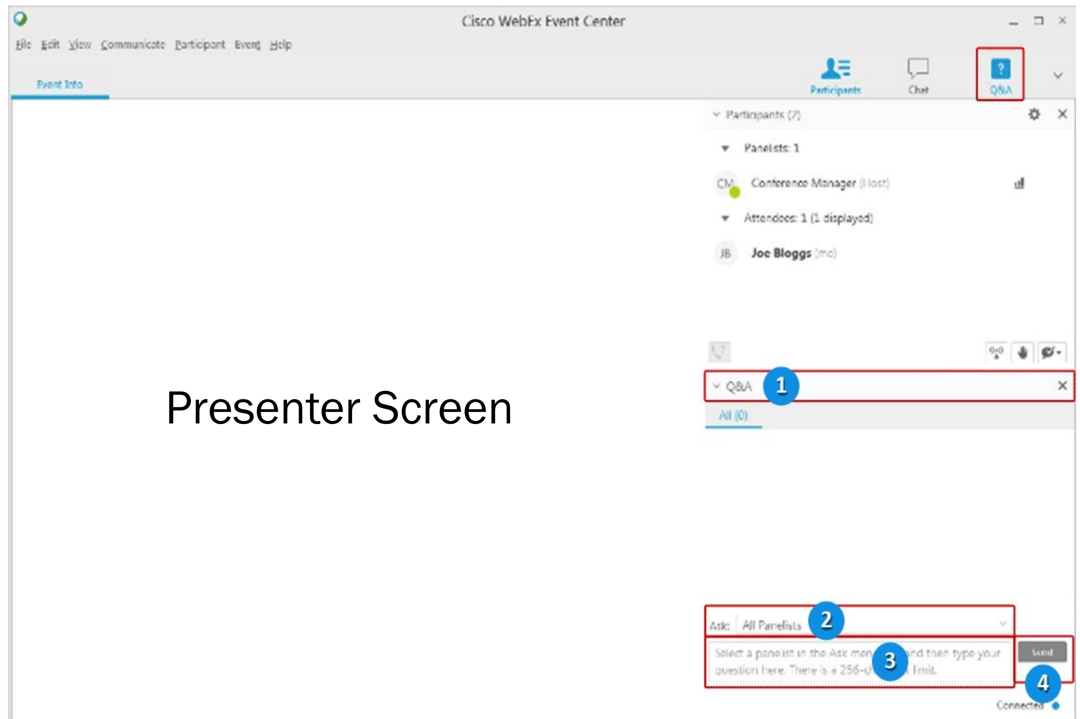
How to submit questions:

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.

Wrap-Up,
Herschel Elkins

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!