CARES Implementation Phase

Rollout 2 – Interface File Layout Standards, Exchanges & Portal

February 9, 2023

11:00 p.m. – 12:00 p.m.

DAVE YOST

Objectives & Logistics

- Objectives
  - Discuss Ground Rules
  - Provide Rollout 2 Status Update
  - Discuss Interface File and Secure File Transfer Standards
  - Discuss Portal
- 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/ Ground Rules	Chris Stevens
Rollout 2 Overview	David Montgomery
File Transfer Standards & Process	Marissa Smith
Portal	Roy Robinson
Open Q&A Wrap Up	Lucas Ward

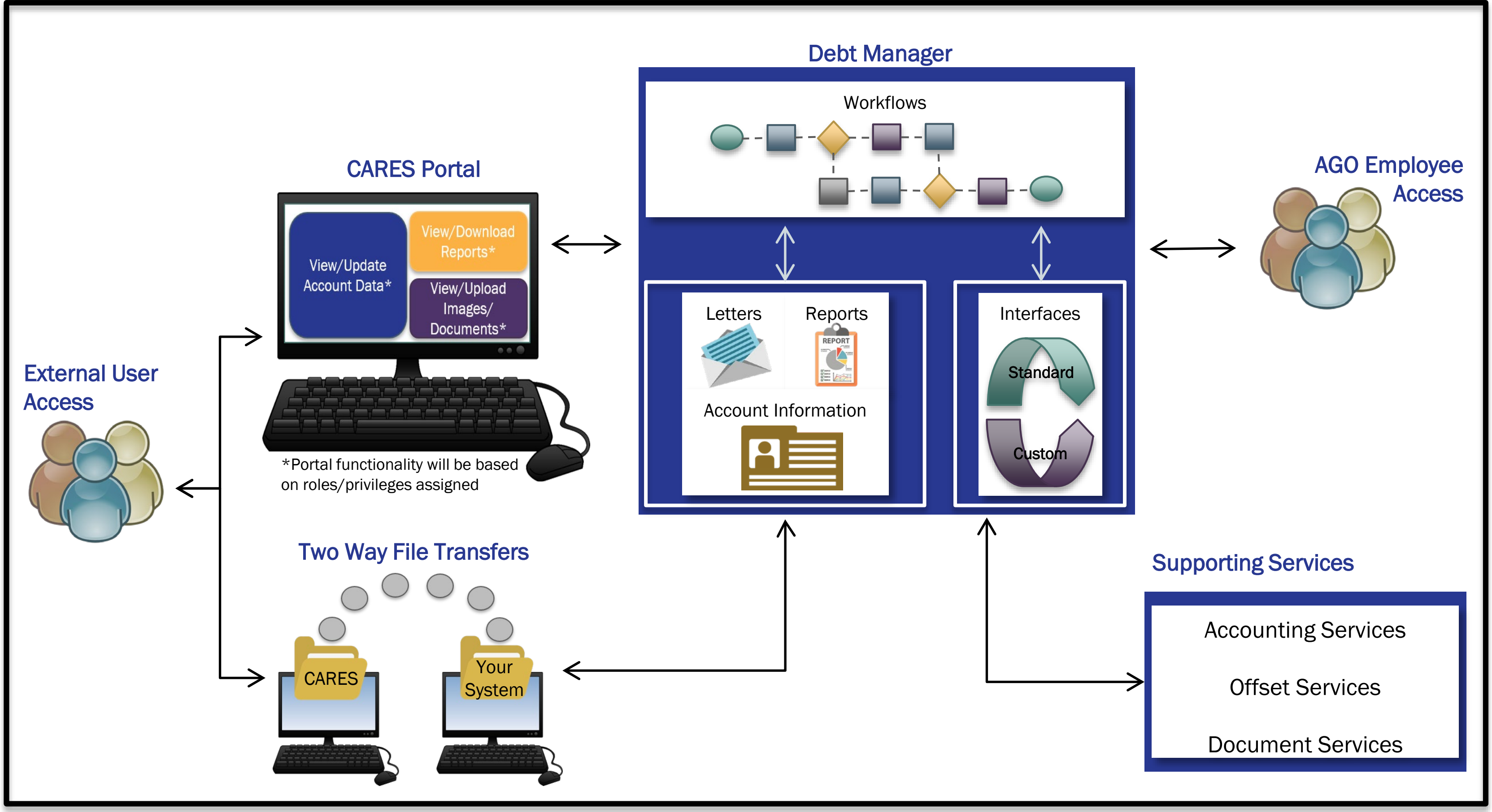
Welcome & Ground Rules

Chris Stevens

Rollout 2 Overview,

David Montgomery

Solution Overview



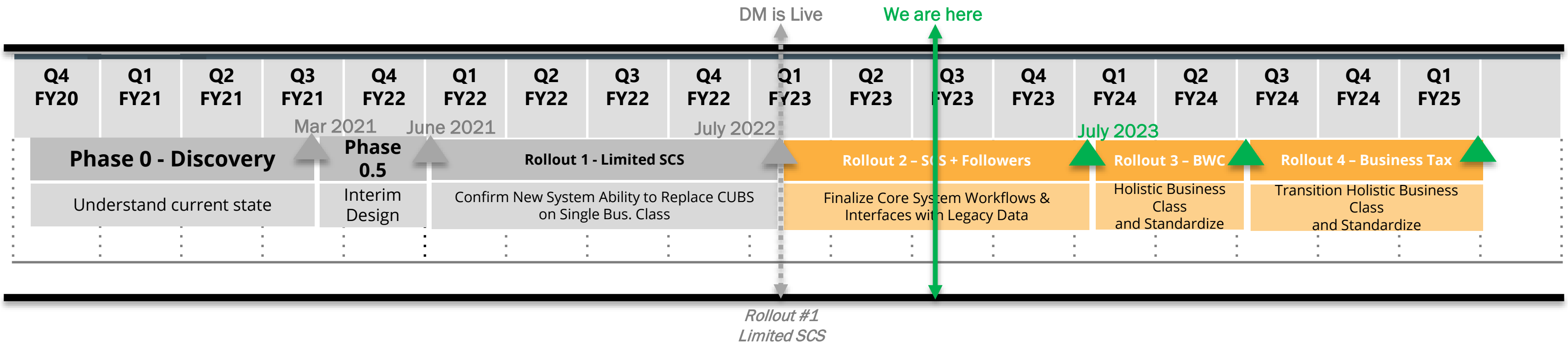
High Level Program Timeline

CARES
Collections Account Resolution & Enforcement System

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

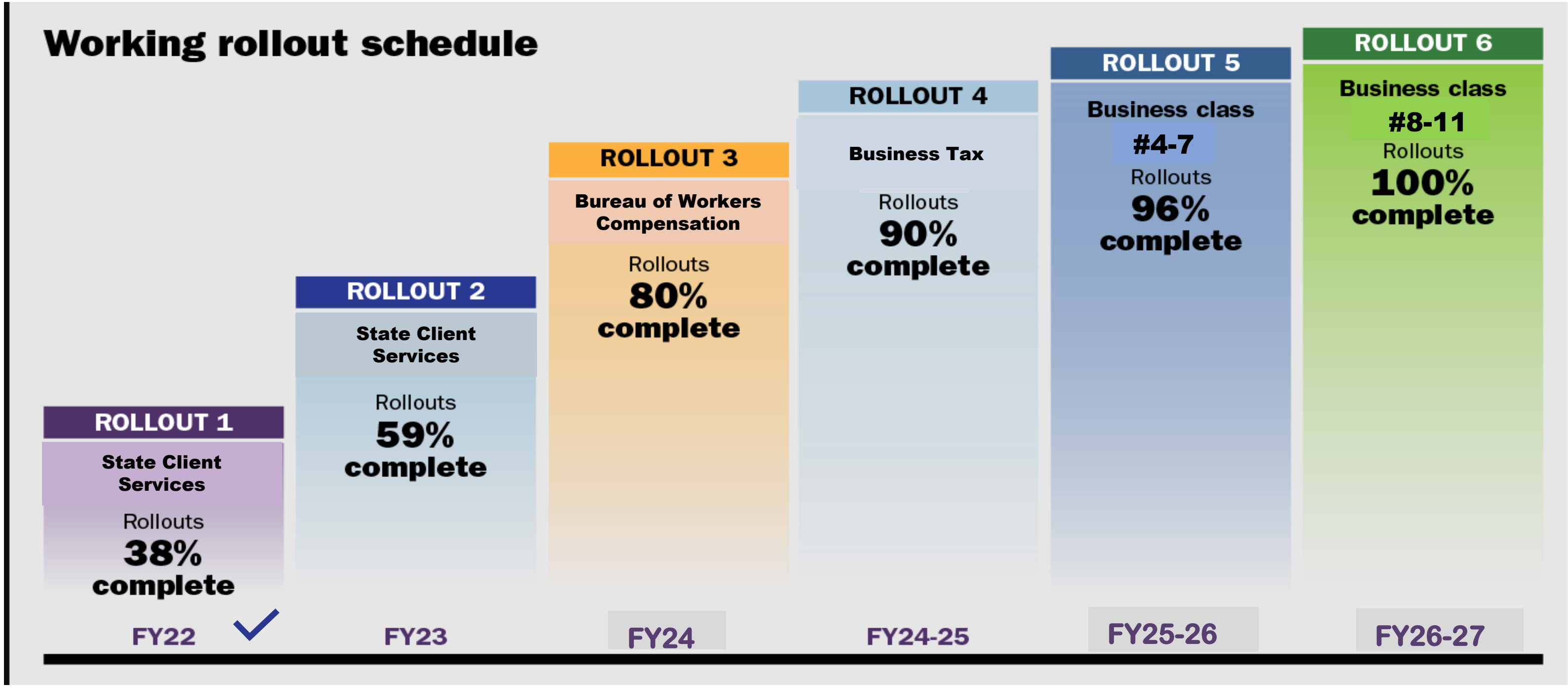
Initial Rollout

- **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)

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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)

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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.**

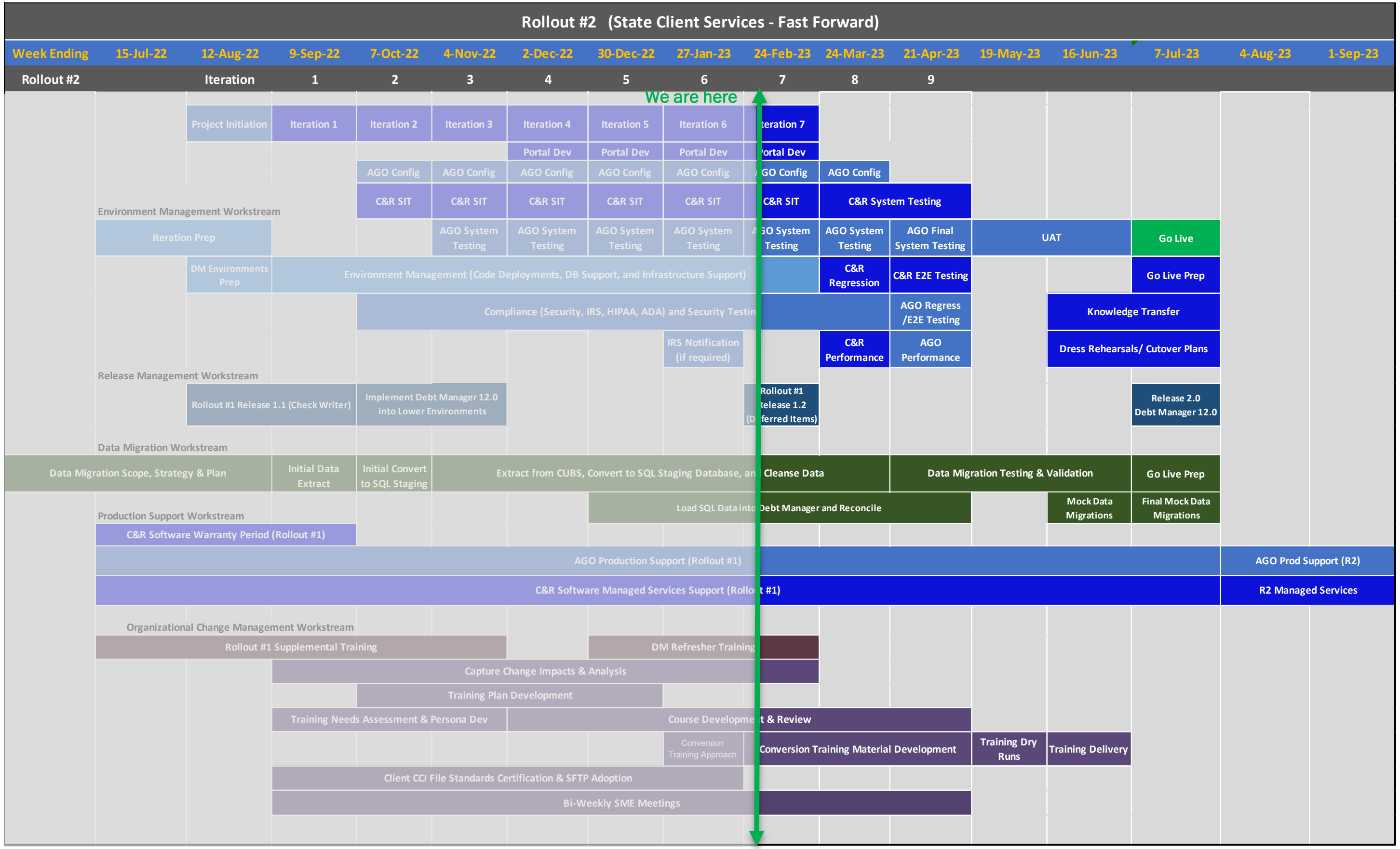
- **We are currently identifying and applying data cleansing rules** against existing CUBS data to ensure the migrated data meets the standards of the new system. We're also working with a cross-functional team to compare data between CUBS and Debt Manager to ensure all data is valid and mapped appropriately 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.

AGO COLLECTIONS MODERNIZATION INITIATIVE

Rollout #2 – Timeline Update



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.

Iteration 1

Workflows
- Forward Strategy
- Admin Fee Processing
- SC Court Costs

Integration
- Trustee Checks
- BMV Hold Release Outbound
- DPSC Certifications Inbound
- Client Financial Inbound

Other
- Letters/Reports
- Data Migration

Iteration 2

Workflows
- Forward Strategy
- Vendor Payments
- Reso Walk-Ins
- Reso Chat

Integration
- Client Financial Inbound
- Client Financial Outbound
- TPV/SC Placement Outbound
- TPV/SC Maint. Outbound
- TPV/SC Maint. Inbound

Other
- Letters/Reports
- Data Migration

Iteration 3

Workflows
- Vendor Payments
- Reso Title Desk/Payoffs

Integration
- TPV/SC Recall Outbound
- TPV/SC Recon Outbound
- Liquor Holder.txt Inbound
- OLC Real-Time Inbound

Other
- Letters/Reports
- Data Migration

Iteration 4

Workflows
- Title Desk/Payoffs
- DOH Smoking Ban Accounts
- OIC (Offer in Compromise)
- Dual Make Whole
- Portal

Integration
- Client Financial Outbound
- OLC Real-Time Inbound

Other
- Letters/Reports
- Data Migration

Iteration 5

Workflows
- DOH Smoking Ban Accounts
- OIC (Offer in Compromise)
- Reso Email Box
- Reso TPV/SC Email Box
- Portal

Integration
- TOS Check/ACH Response (NACHA)
- OLC Payment File Inbound

Other
- Letters/Reports
- Data Migration

Iteration 6

Workflows
- Archive and Write Off
- Statute of Limitations
- Reso TPV/SC Email Box

Integration
- N/A

Other
- Letters/Reports
- Data Migration

Iteration 7

Workflows
- Statute of Limitations
- Liquor
- Intake Mailroom (Mail Sorting/Distribution Process)
- Intake Overnight Mail

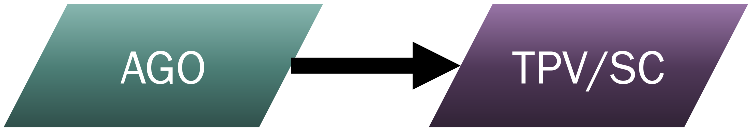
Integration
- N/A

Other
- Letters/Reports
- Data Migration

File Transfer Standards and Process

Marissa Smith

Placement Outbound



Description:

The AGO's Receiver Placement Outbound ETL forwards debtors and accounts to their Third-Party Agencies and Special Counsels

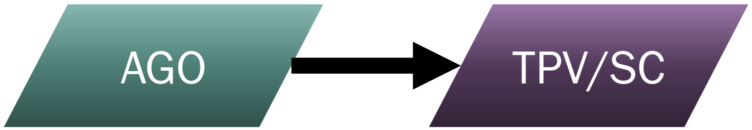
Frequency:

Daily – Based on Forwarding Strategy

Transmission Method:

Files transmitted via SFTP push to Special Counsels and Third Party Vendors

Maintenance Outbound



Description:

The AGO's Receiver Maintenance Outbound ETL sends updates on debtors and accounts placed with Third-Party Agencies and Special Counsels

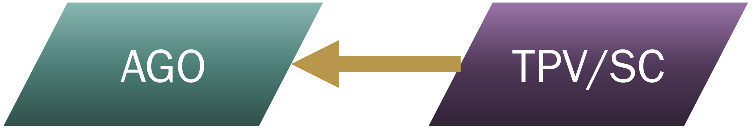
Frequency:

Daily – After financial files run EOD

Transmission Method:

Files transmitted via SFTP push to Special Counsels and Third Party Vendors

Maintenance Inbound



Description:

The AGO’s Receiver Maintenance Inbound ETL to receives updates on debtors and accounts placed with Third-Party Agencies and Special Counsels

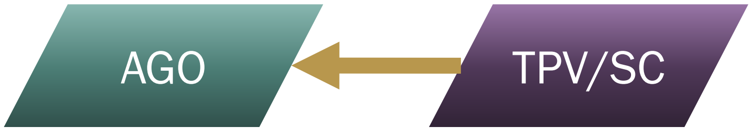
Frequency:

Daily

Transmission Method:

Files transmitted via SFTP pull from Special Counsels and Third Party Vendors

Recall Inbound



Description:

The AGO’s Receiver Recall Inbound ETL receives recalls on debtors and accounts placed with Third-Party Agencies and Special Counsels

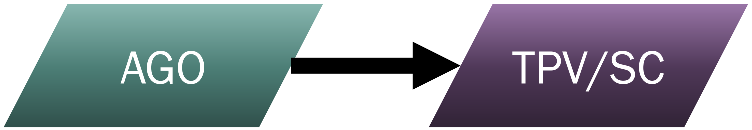
Frequency:

Daily

Transmission Method:

Files transmitted via SFTP pull from Special Counsels and Third Party Vendors

Recall Outbound



Description:

The AGO's Receiver Recall Outbound ETL sends recalls on debtors and accounts placed with Third-Party Agencies and Special Counsels.

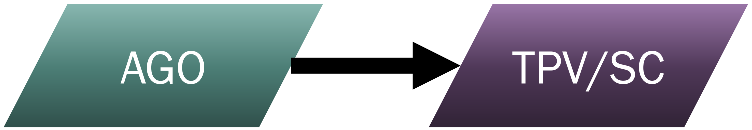
Frequency:

Daily

Transmission Method:

Files transmitted via SFTP push to Special Counsels and Third Party Vendors

Recon Outbound



Description:

The AGO's TPV/SC Recon Outbound ETL will be used for extracting forwarded accounts from Debt Manager for inventory reconciliation purposes

Frequency:

Daily

Transmission Method:

Files transmitted via SFTP push to Special Counsels and Third Party Vendors

CARES File Transfer Standard

- AGO CARES Debt Manager will require file transfers via the Secure File Transfer Protocol (SFTP)
- All Rollout 2 partners must install and configure an SFTP 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 The free FTP solution
  - Free to download and use
- 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

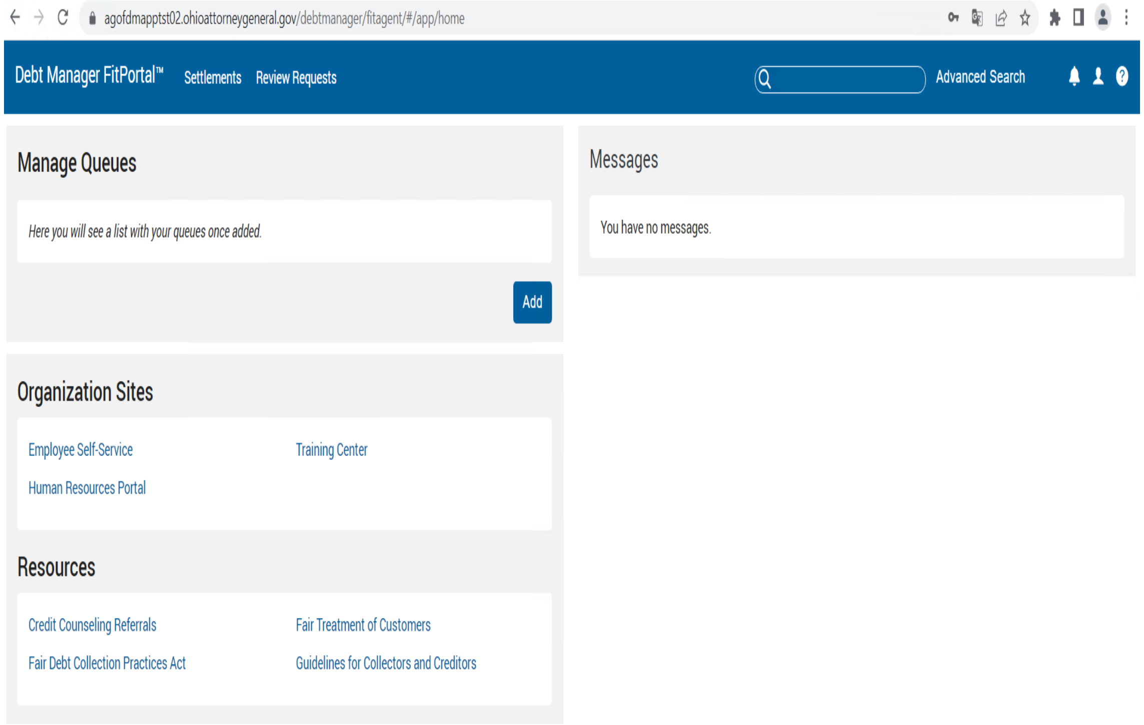
Portal

Roy Robinson

Portal Overview

CARES Portal

*Portal functionality will be based on roles/privileges assigned



AGO Portal Features

- Access to Debt Manager (DM) information
- Update debtor contact information directly into the system
- Provide information to AGO through Action Result Codes to enhance efficiency
- Ability to view and upload documents
- Ability to view and export reports

Wrap-Up,

Lucas Ward

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Question & Answer Session

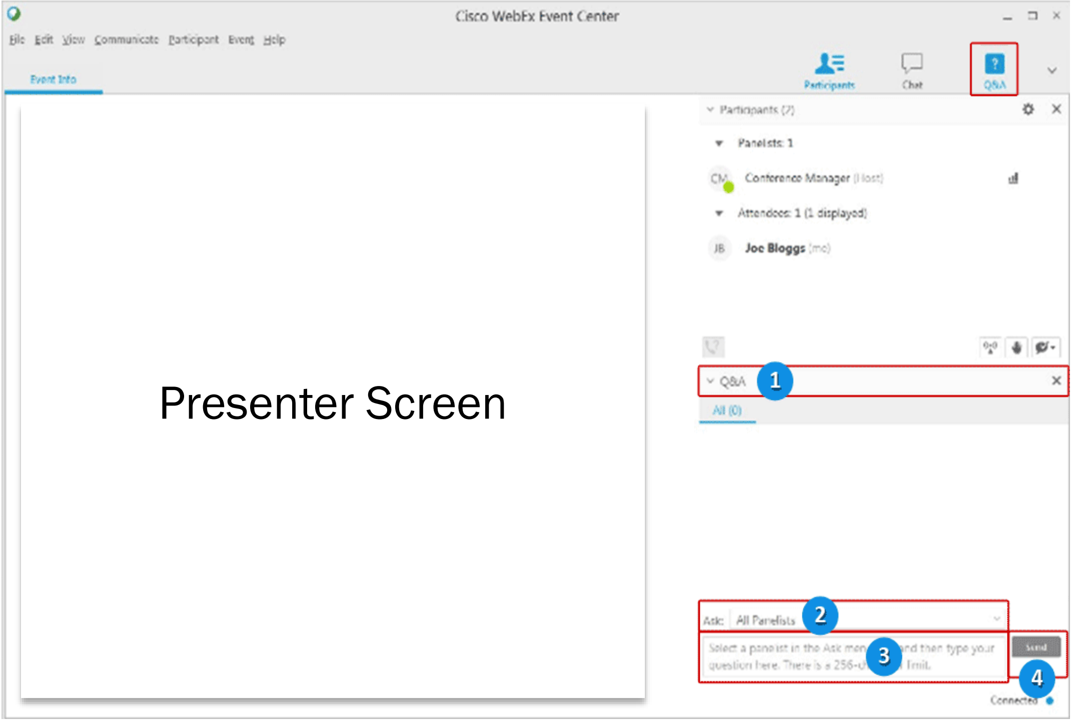
How to submit questions:

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!