

**Information and Instructions for Completing the *Calculations Worksheet*
for Desk Review of Pass-through Payments and/or Cumulative Excess Support Payments**

The *Calculations Worksheet for Desk Review of Pass-through Payments* (pass-through worksheet) and the *Calculations Worksheet for Desk Review of Cumulative Excess Support Payments* (cumulative excess support worksheet) have been created for use in performing the proper calculations in response to desk review request.

**STEP 1 OF EACH WORKSHEET MUST BE COMPLETED BY THE SUPPORT COLLECTION UNIT (SCU).
IF A SECOND-LEVEL DESK REVIEW IS REQUESTED, STEP 1 MUST BE
CHECKED/CORRECTED BY THE OFFICE OF TEMPORARY AND DISABILITY ASSISTANCE (OTDA).**

- Identify the level of desk review being performed.
 - For the SCU, the box for first-level desk review must be checked.
 - For the OTDA reviewer, the box for second-level desk review must be checked.
 - If the SCU must revise the first-level desk review based on a second-level desk review request, the box for revised first-level desk review must be checked.

For any information identified below, the SCU must **first** review the information provided on the *Request for a First-Level Desk Review of Pass-Through Payment or Excess Cumulative Support Payment* form received and compare and verify it to the information on the automated case records. For example, the SCU should verify that the individual has/had a child support account established with the SCU in any month during the period for which a first-level desk review of pass-through payments is requested, and that the Recipient was under an assignment and in receipt of Temporary Assistance (TA) during this same period. Verification can be done by reviewing the automated child support system (e.g., Automated State Support Enforcement and Tracking System [ASSETS]), or the daily *IV-A/IV-D Interface* report.

NOTE: Maintenance of the automated child support account, including the ledgers, may be required prior to completing either worksheet. Examples include determining whether the 1) automated child support account ledger(s) accurately reflect the status of TA; 2) Case Number (CAN) and Client Identification Number (CIN) information on the automated child support system is in agreement with Welfare Management System/Benefit Issuance and Control System (WMS/BICS) records (refer to the May 28, 2004 *Dear Colleague* letter for changes to the process); and 3) Recipient's address on the automated child support system matches what was provided with the desk review request. SCUs must verify that the obligation, due, paid, and applied are correct based on the records. For example, SCUs should review each Batch 79 transaction (e.g., on the ASSETS *Money Transactions* record) in the month and the specific ledger or ledgers to confirm that what has been applied is correct.

The SCU may verify TA information by utilizing the *IV-A/IV-D Interface Report*, or by reviewing TA records through the automated child support system. For example, WRTS information may be displayed on the ASSETS *Client Information* or *Child Information* records by locating the link for the *CAN* or *CIN* fields on the page and clicking it.

The SCU must review the case records and reports to determine whether updates to the automated child support system are appropriate **and complete any updates before proceeding with the desk review** and forwarding the complete package to the TA Unit.

The following directions for Step 1 are to be used for either worksheet.

Step 1: Desk Review Administrative Information

Date Request Received: Enter the date that the *Request for a First-Level Desk Review of Pass-through Payment or Cumulative Excess Support Payment* form was received by the SCU. Be sure to update the ASSETS *Status Information* record of the account, by entering the appropriate status and reason code of **H001 04** (*Request for desk review received*) and the date the request form was received in the *Effective Date* field.

Recipient's Name: Enter the name of the individual requesting the desk review. A desk review of support collections may be requested by a current or former recipient of TA for the month(s) during which an assignment of support rights was in effect.

Client Identification Number (CIN): Enter the CIN for the TA case head. The CIN is an eight-position identifier code which is assigned to each member of a TA case household. A CIN is unique to an individual and there can be many CINs associated to one CAN. The CIN for each household member can be located on the ASSETS *Client Information* or *Child Information* records.

Recipient's Address: Enter the mailing address of the individual requesting the desk review.

Temporary Assistance Case Number(s) (TA-CAN): Enter the TA-CAN. This may be found in the *CAN* field on the ASSETS *Client Information* or *Child Information* records. For New York City (NYC) only, enter the TA case suffix. The case suffix is a two-digit value assigned to TA-CANs (e.g., 01, 02, etc.) in NYC only. The same TA-CAN with a different suffix is considered a new TA-CAN. The suffix may be found in the *Suffix* field following the *CAN* field on the ASSETS *Client Information* or *Child Information* records.

New York Case Identifier(s) (Child Support Account Number): Enter the unique nine-character alphanumeric (e.g., AA12345K1) identifier(s) (ASSETS account) assigned to each custodial parent/noncustodial parent relationship. If the custodial parent has more than one New York Case Identifier, the SCU should determine whether each ASSETS account is relevant to the desk review request. A relevant ASSETS account should reflect the relationship to the TA case by matching the CAN entered on the *CAN* field on the ASSETS *Client Information* or *Child Information* records with the CAN entered on the desk review request form. The ASSETS accounts included may involve a payment which impacted more than one New York Case Identifier, or an account that may involve more than one local district. Note that if there is more than one New York Case Identifier, the support collected for each account will be combined and counted towards the maximum monthly pass-through for each TA household. Note that the amount of the pass-through payment cannot exceed the combined support obligation amounts for all relevant New York Case Identifiers.

Review Period:

For Pass-Through Payment Review- Enter the entire period or the individual month(s) covered by the desk review request form plus up to the two consecutive months that follow each period requested if appropriate. A desk review is limited to an accounting of the collections, distributions, and disbursements made during the current calendar year of the desk review request and the previous calendar year. For example, if a pass-through desk review is requested anytime this calendar year, the months that can be reviewed can only go back to January of the previous calendar year.

For Cumulative Excess Support Review- Regardless of the period stated by the Recipient on the desk review request form, in the "From" field enter the date that the Recipient first received TA (staff must check system archives and the Computer Output to Laser Disc [COLD] system for correct dates) or the date of birth of the oldest child, whichever is later. In the "to" field enter the last day of the last month child support was kept by the district. If the Recipient received TA while pregnant with the oldest child, in the "From" field enter the date the district received medical verification of the pregnancy. The cumulative excess support desk review must be conducted for a period which covers the full period(s) of the TA assignment, and it must consider

collections, distributions, and disbursements for all periods through to the last month that a disbursement was made to the TA Unit for such assignments.

Date(s) of TA: Enter the beginning and ending date(s) of TA for each time period the TA case was active. If the case is still active enter “present” in the “to” field.

First-Level Desk Review Completed by the Support Collection Unit (SCU): Enter the name, title, and telephone number of the SCU worker who completed the worksheet and the date that the SCU worker completed their portion of the worksheet.

First-Level Desk Review Completed by the TA Unit: Enter the name, title, and telephone number of the TA Unit worker who completed the worksheet and the date that the TA Unit worker completed their portion of the worksheet.

If Applicable, Second-Level Desk Review Completed by OTDA Division of Child Support Services: If a second-level desk review has been requested through OTDA, the OTDA Division of Child Support Services reviewer will confirm the information provided in steps 1 and 2 of the pass-through worksheet or Step 1 and Step 3A of the cumulative excess support worksheet. If the first-level desk review contains errors, or new information is provided with the second-level desk review request that modifies the calculations, the OTDA Division of Child Support Services reviewer will ensure that any incorrect information on the worksheet is corrected. After confirming the information in this section of the worksheet, the OTDA Division of Child Support Services reviewer must enter their name, title, telephone number, and the date. The OTDA Division of Child Support Services reviewer must then forward the worksheet to the OTDA TA Bureau to complete the second-level desk review.

If Applicable, Second-level Desk Review Completed by OTDA TA Bureau: The OTDA TA Bureau reviewer will confirm the information provided in Steps 3 and 4 of the pass-through worksheet or Steps 2, 3 (B-G) and 4 of the cumulative excess support worksheet. If the first-level desk review contains errors, or new information is provided with the second-level desk review request that modifies the calculations, the OTDA TA Bureau reviewer will ensure that any incorrect information on the worksheet is corrected and complete the second-level desk review. After confirming the information in this section of the worksheet and completing the second-level desk review, the OTDA TA Bureau reviewer must enter their name, title, telephone number, and the date.

The following directions for Steps 2-4 are to be used for the pass-through worksheet ONLY.

Please turn to page 6 for directions on how to complete Steps 2-4 of the cumulative excess support worksheet.

Step 2: Child Support Information (to be completed by the SCU)

Month/Year (list all months of review period): Enter each month/year included in the desk review request. For example, if the desk review is requested for January through June of 20XX, you would enter 01/20XX, 02/20XX, 03/20XX, 04/20XX, 05/20XX, and 06/20XX, in this column. The SCU must conduct the desk review for the period(s) requested on the desk review request form, plus up to the two consecutive months that follow each period requested if appropriate.

If the total time period identified on the desk review request exceeds the space allowed in the table for Step 2, use the *Additional Worksheet for Review Periods Longer Than Six Months* form.

(1) Factored Monthly Current Support Obligation: For each month of the review period, enter the total monthly current support obligation. To determine the total monthly current support obligation:

- a. Identify each ASSETS account with i) the same TA-CAN (and suffix for NYC) and ii) a **retained** Federal Information Processing Standards (FIPS) code (also known as a “locator code”).
- b. For each such ASSETS account, identify all pass-through-eligible ledgers, including: **21A_, 23A_, 21BP, 23BP, 21BR, 23BR, 21CP, 23CP, 21CR, 23CR, 21CA, and 23CA.**
- c. Convert the obligations on each pass-through-eligible ledger to monthly obligations by multiplying the current obligation amount by the appropriate number below, based upon the current obligation frequency:

If the Current Obligation Frequency is:

Multiply the current obligation amount by the number below to obtain the monthly obligation amount.

Weekly (D07)	4.33333
Bi-weekly (D14)	2.16667
Semi-monthly (B)	2.0
Monthly (M)	1.0
Quarterly (Q)	.33333
Semi-annually	.16667
Annually (A)	.08333

- d. Sum the monthly obligations of all the pass-through-eligible ledgers. This is the factored monthly current support obligation.

(2) Total Monthly Amount of Current Support Collected and Disbursed to District: For each month of the review period, enter the total amount collected and disbursed to the district as current support for the month (see 2.d. below for instructions on how to determine the total monthly amount of current support collected and disbursed to the district).

- a. **Definition of current support:** Current support means support **which** is received and systematically applied to an **active charging** pass-through-eligible **ledger** (21A_, 23A_, 21BP, 23BP, 21BR, 23BR, 21CP, 23CP, 21CR, 23CR, 21CA, and 23CA) on an account with a retained FIPS code in the month when the support is due. It does not include collections received towards support arrears/past due support by federal income tax refund offset, nor collections that were applied to support arrears/past due support.
- b. **Definition of active charging ledger:** The SCU can determine if there are active charging current support ledgers by reviewing the ledger information available through the ASSETS *Obligation* tab and the *Ledger Information* record. The SCU must check the first and last charge dates of current support ledgers with an obligation amount greater than zero and a ledger status of “01” (*Active*). Current support due and/or paid and systematically applied to a charging eligible ledger indicates the Recipient is due a pass-through payment.
- c. **Definition of current collection:** Current collections include batch **50, 53, 54, 56, 57,** and batch **71, 72, 74,** and **77** transactions for the month in question (refer to the [ASSETS User Guide](#) for the definitions of these batch types). **Importantly, not all of these current collections may be applied to one of the above noted active charging pass-through-eligible ledgers. For example, some of the current collections may be available and unapplied.** Additionally, no pass-through will be allowed for collections received as a result of federal income tax refund offsets, or collections that were applied

to any support arrears ledgers. **The SCU must consider the payment batch type along with the ledger type to determine collections applied to current support and collections applied to support arrears/past due support.**

NOTE: When collections received in advance are applied to the current support obligation in a later month and a pass-through payment desk review request is received for that later month, **those collections must be considered** current collections for purposes of calculating a pass-through payment.

- d. Determination of the total monthly amount of current support collected and disbursed to the district:** To determine the total monthly amount of current support collected and disbursed to the district:
- i. Identify each ASSETS account/New York Case Identifier with i) the same TA-CAN (and suffix for NYC) and ii) a retained FIPS code.
 - ii. For each such ASSETS account/New York Case Identifier, review the ASSETS *Money Transactions* record to identify the total collected and disbursed to the district as current support for the month. Alternatively, the SCU may wish to use the ASSETS account document generator tool, which allows for easy identification of collections and disbursements for a set period of time.

NOTE: Account maintenance of the WMS case and records may be required prior to completing Steps 3 and 4 of the worksheet. Examples include determining whether the WMS case record CAN and CIN agree with the ASSETS number(s) reported; whether the Recipient's address on WMS is the same address as provided with the desk review request; whether any pass-through payments require review as reported on the *IV-D Exception Report*; or whether previous pass-through payments on a Recipient's Electronic Benefits Transfer (EBT) card have been expunged (expired) and funds remain due. The TA Unit must review the case records and reports to determine whether updates to WMS must be completed and **perform those updates before proceeding with the desk review.**

Additionally, the TA Unit must maintain copies of all TA records used in the first-level desk review, whether or not such records are available electronically on WMS/BICS and make those records available to OTDA upon notification of a second-level desk review request.

Step 3: TA Information (to be completed by the TA unit)

DETERMINE THE MAXIMUM PASS-THROUGH PAYMENT

(3) Enter Lesser Amount from Line 1 and Line 2.

(4) Maximum Pass-through Case may be Eligible for: Enter the maximum pass-through payment that the TA case may be entitled to given the number of individuals under the age of 21 who are active on the TA case for that month. If zero individuals under the age of 21 are active on the TA case for that month, enter \$0.00; if one such individual is active, enter \$100.00; and if two or more such individuals are active; enter \$200.00.

(5) Enter Lesser Amount from Line 3 and Line 4.

(6) Pass-through Payment Previously Issued (enter amount and date): Enter the amount of any pass-through payments which were previously paid to the Recipient. The TA Unit can locate this information on the WMS/BICS *Case Record of Assistance* (CRA). Pass-through payments are identified by WMS/BICS Payment Type Codes "**D1**" (*IV-D Payment*) or "**18**"* (*Child Support Disregard*) in Rest of State (ROS), and Payment Type Codes "**54**" (*Child Support Bonus Payment – Manual Issuance*) or "**70**" (*Child Support Bonus Payment – System Generated*) in NYC. If any pass-through payment has been recovered, the recovered amount must be deducted from the pass-through payment amount issued.

If a Pass-through Payment has been issued as a result of a first-level desk review, the second-level desk review should add the date and amount of the pass-through payment.

***NOTE:** Payment Type Code “18” (ROS) represents a child support disregard payment. It indicates that a household received direct support that was counted in the TA budget. Households in receipt of direct support receive a disregard and are not eligible for a pass-through payment unless they are also in receipt of direct support and the disregard is less than \$100.00 for a household with one child or \$200.00 for a household with two or more children.

In addition, enter any amount of pass-through payments that were expunged (expired). Expunged payments are payments that were issued to the Recipient but were not picked up in full or were only partially picked up and access to the funds has now expired. The expired funds may be due to the Recipient. The TA Unit may locate expunged funds on the EBT report titled *EBT – Worker Action Lists* or WMS/BICS CRA for an individual’s benefit information.

(7) Subtract Line 6 from Line 5. This is the Amount of Pass-through Owed to the Recipient.

(8) Enter the total amount of all columns from Line 7. This is the amount of pass-through payment that is owed or was overpaid to the Recipient.

Step 4: Results of First-Level Desk Review of Pass-Through Payments

The TA Unit must check the box that accurately reflects the results of the first-level desk review of pass-through payments and enter the amounts where indicated.

Comments: The SCU or TA Unit must enter any comments relevant to the resolution of the desk review (e.g., the SCU will need to add information about future payments here).

The TA Unit must complete the *First-Level Desk Review Determination*.

A copy of each of the following must be attached to the *First-Level Desk Review Determination* and become part of the final determination package:

- The original *Request for a First-Level Desk Review of Pass-through Payment or Cumulative Excess Support Payment* form and any documentation provided by the Recipient for the desk review;
- The pass-through worksheet with Steps 1 and 2 completed by the SCU worker, Steps 3 and 4 completed by the TA Unit worker;
- A *Request for a Second-Level Desk Review of Pass-through Payment or Cumulative Excess Support Payment* form; **and**
- *Information and Instructions for Completing the Request for a Second-Level Desk Review of Pass-through Payment or Cumulative Excess Support Payment*.

The following directions for Steps 2-4 are to be used for the cumulative excess support payments worksheet ONLY.

Please turn to page 3 for directions on how to complete Steps 2-4 of the pass-through worksheet.

Step 2: PA Grant Paid (to be completed by the TA unit)

Enter the total amount of TA paid from the date the Recipient first received TA (staff must check system archives and COLD for correct dates) or the date of birth of the oldest child, whichever is later, through the last day of the last month that child support was kept by the district. If the Recipient received TA while pregnant with the oldest child, the start date of the review period must be the date the district received medical verification of the pregnancy. The total amount of TA paid for the review period includes countable "assistance" payments as found in 09-ADM-04, excess current support payments, and cumulative excess support payments. The total amount of TA paid does **not** include pass-through payments issued for support collected, or non-assistance payments made, on or after December 2, 1996.

The following payments are included in the calculation of assistance paid:

- ROS – ALL payment types issued prior to December 2, 1996
 - After December 1, 1996, all assistance payment types listed in Attachment 5 of 09-ADM-04 **and** the following payment types:
 - D3 (Excess Current Support);
 - D4 (Excess Support Arrears);
 - K3 (CAP Support Reconciliation);
 - N2 (Child Support Due Client – Period of Ineligibility)
 - Q5 (Upfront Cash Security Deposit), when issued prior to October 2003;
 - T3 (Training Tuition and Fees), when issued prior to March 4, 2009; and
 - W1 (Court Ordered Retroactive Payment – Check), when issued prior to December 1, 1996, or after August 31, 2007.
- NYC Payments- ALL payment types issued prior to December 2, 1996
 - After December 1, 1996, all payment types listed in Attachment 2 of 09-ADM-04;
 - Payment Type 65 (Training Expense JOBS Extended Supportive Services) when issued before December 1, 2000; and
 - The following payment types, when issued on or before September 12, 2006:
 - 30 (Rent Payments in Excess of Maximum);
 - 41 (Utility Grant to Prevent Turn Off or Restore Utility Services [Mismanagement]);
 - 59 (NYCHA Rent Arrears); and

The following payments should **not** be included in the calculation of assistance paid:

- NYC Non-Assistance Payment Types:
 - W6 (Supplement FEPS Rent Arrears [Non-Recoupable]),
 - N4 (Back to School Payment),
 - F5 (Legally Exempt In-Home Child Care Relative [Full Time]),
 - P5 (Legally Exempt In-Home Child Care Relative [Part Time]); and
 - P2 (Day Care Family Home [Part Time])
- ROS Non-Assistance Payment Types:
 - R4 (Legally Exempt Family Child Care Non-Relative [Full Time]);
 - R2 (Legally Exempt Family Child Care Relative [Full Time]); and
 - N4 (Back to School Payment).
- Supplemental Nutrition Assistance Program (SNAP) and Home Energy Assistance Program (HEAP) benefit payments are **never counted** as assistance granted.

Attach all applicable TA Payment records – only include payments for which you have verified documentation. If case records include records of payments not found on WMS, such as microfiche or paper, copies of those documents must also be attached.

Step 3: Total Repayments (A is to be completed by the SCU, and B-G are to be completed by the TA Unit.)

The purpose of this step is to identify any repayments made to the TA Unit, which serve to offset the TA received.

For A, the SCU must enter the total amount of child support collections that were disbursed to the district for the entire period which covers the assignment of support rights. **This amount is the total of the “DSS/Other State” disbursements shown on the associated ASSETS Disbursement Histories for the entire review period.** Note: To use the ASSETS Document Generation module, you must have the *ASSETS, Inquiry, Payment/Disbursement History*, and *SOS* security roles.

For B through G, the TA Unit must determine if any repayments have occurred and, if so, enter the amounts of those repayments. If no TA repayments occurred, enter \$0.00.

Step 4: Results (to be completed by the TA Unit)

Total Applicable PA Grant Paid in the Review Period: Enter the Total PA Grant Paid in the Review Period from Step 2.

Total Repayments: Enter the total amount of Step 3, lines A-G.

Total Cumulative Excess Support Amount: Subtract the amount of Total Repayments from the amount of Total Applicable PA Grant Paid in the Review Period.

If this amount is less than zero, this is the total amount of cumulative excess support due to the Recipient. If this amount is zero or greater, there is no cumulative excess support due to the Recipient.

Comments: The SCU or TA Unit must enter any comments relevant to the resolution of the desk review.