

IRS239 Lift Sanction

As a system (OBMAN) I want to inform SWIFTT that a Failure has had an action performed on it so that sanction imposed on a client due to an Obligation Failure can be lifted and I want to record the response from SWIFTT.	Status	Final
	Date	03/11/15
Customisation: N/A	Version	1.3
<p>Impacted Systems: OBMAN, SWIFTT</p> <p>OBMAN will advise SWIFTT of lifting benefit sanctions.</p> <p>SWIFTT will receive lifting of sanction information from OBMAN, process the request and advise OBMAN of the sanction has been lifted.</p> <p>(Note: SC846 will be used by OBMAN and SWIFTT to send and receive information.)</p>	Author	Out of scope

1 Overview

Currently client's re-compliance to obligation failures is recorded in CMS or directly in OBMAN (for Social Obligations). Re-compliance information originating in CMS propagates to OBMAN which sends the information (along with the social obligations re-compliance information) to SOLO which in turn sends the information to SWIFTT requesting SWIFTT to lift sanctions.

When SOLO is retired it is envisaged OBMAN will send the re-compliance information to SWIFTT and receive a response from SWIFTT on whether sanction was lifted successfully.

2 Traceability

Dependency - IRS237 Advise Sanction

Dependency - IRS238 Generate Obligation Fail Removal Letter Request

Dependency – IRS202 Resolve Exceptions

3 Acceptance Criteria

3.1 Request SWIFTT for lift sanction

The system should request SWIFTT to lift a sanction imposed on a client.

3.2 Receive response from SWIFTT

The system should receive a response from SWIFTT whether lifting of the sanction was successful or not.

3.3 Update Event History

The system should log *all* transactions (including successful and unsuccessful sanctions) between OBMAN and SWIFTT for a client Event History.

Note: Event History is current (existing) system feature.

4 Data Requirements

4.1 OBMAN Request to SWIFTT

The OBMAN request to SWIFTT will contain the following information requesting lifting of sanction:

Name	Description	Type / Value	Rules	Population
Client Number	Unique client identifier	Numeric (9 digits)	Mandatory	Auto-populated by OBMAN
Effective date	The date when sanction should be lifted	Date	Mandatory	Auto-populated by OBMAN
Change Type	Indicate whether to apply or lift sanction – in this case “lift sanction”	Text	Mandatory	Auto-populated by OBMAN
Change Reason	Reason why sanction is lifted	Alpha-numeric	Mandatory	Auto-populated by OBMAN

4.1.1 Business Rules

4.1.1.1 BR Determine action performed on Obligation Failure

System determines that action performed on a Failure is either of the following:

- a. Re-complied
- b. Overturned (could be due to Dispute Overturned or Review of Decision Overturned)
- c. RAO status is set to “Started”
- d. RAO status is set to “Completed” (Note: As per the current system functionality, RAO status may not be manually set to Completed. There is a batch job run for this purpose.)
- e. Deactivation

4.1.1.2 BR Advise SWIFTT to lift sanction

System requests SWIFTT to lift sanction sending the following details:

- a. Client Number

- b. Effective date (i.e. the date when sanction should be lifted)
- c. Change Type (value = "LIFTSANCTION")
- d. Change Reason – the reason why sanction should be lifted which is one of the following:
 - i. Re-complied (value = "RECOMPLY")
 - ii. Overturned (value = "OVERTURN")
 - iii. Deactivation (value = "DEACTIVATE")
 - iv. RAO status is set to "Started" (value = "STARTRAO")
 - v. RAO status is set to "Completed" (value = "COMPLETERAO")

(Note: As per the current system functionality a user can reset RAO status to "Started" from an initial value of "Failed" within 5 working days of original "Failed" and before the batch of 6 weeks. In this case the RAO "Failure" is sent through to SWIFTT but SWIFTT is not informed of the re-set value of RAO "Started". The Case Manager may go into SWIFTT to grant a provisional benefit as normal business as usual. This process should remain unchanged in the future.)

Please refer to the Business Rules for Apply and Lift Sanction table in the Appendix for a tabulated view of the rules.

4.1.1.3 BR Update Event History

The system should log all transactions between OBMAN and SWIFTT for a client with details of "Action" and "Description" in the Event History as normal process.

Note: Event History is current (existing) system feature.

1. Where the sanction has been successfully lifted, the system should update the Event History with:
 - a. Manual action (if any) required (e.g. backdated review)
 - b. Where the sanction could not be successfully lifted, the system should update the Failure screen as follows:
 - c. Error message (yet to be mapped noted as Exception 3)

Note: IRS202 Resolve Exceptions – addresses business requirements regarding informing users and allowing users to handle exceptions where (a) sanction is unsuccessful (b) lift is unsuccessful (c) manual action/review is required.

4.1.1.4 BR Update Failure screen

Where benefit has been successfully sanctioned, the system should update the Failure screen with Sanction lifted date (i.e. the date when OBMAN requests SWIFTT to lift sanction.)

4.1.1.5 BR RAO not failed by 13 weeks from Sanction Date

1. If the client starts RAO after the Sanction Date and is not failed or completed before or on 13 weeks from the Sanction Date, the Obligation Failure shall be deactivated in the system.

Note: There is no requirement to send a message to SWIFTT in this scenario.

4.2 SWIFTT Response to OBMAN

SWIFTT would send back to OBMAN the following information:

Name	Description	Type / Value	Rules	Population
Client Number	Unique client identifier	Numeric	Mandatory	Auto-populated by SWIFTT
Sanction lifted date	The date when the sanction is lifted. (No date is returned if sanction could not be lifted.)	Date	If available	Auto-populated populated by SWIFTT
Change Type	Indicate whether sanction has been lifted as per request	Text LIFTSANCTION	If available	Auto-populated populated by SWIFTT
Error Code	A numeric code indicating the reason that SWIFTT could not lift the sanction as per request	Numeric	Conditional Mandatory if sanction was unable to be lifted by SWIFTT	Auto-populated populated by SWIFTT
Error message	A message describing the reason that SWIFTT could not lift the sanction as per request	Alpha-numeric	Conditional Mandatory if sanction was unable to be lifted by SWIFTT	Auto-populated populated by SWIFTT

4.2.1 Messages received from SWIFTT

The following table is an *indicative* list of messages that OBMAN would receive from SWIFTT. The first 3 rows are messages returned if a requested sanction is successfully applied in SWIFTT. All the other messages are for error/exception scenarios.

Note: Translation of SWIFTT messages to exact messages to be displayed in OBMAN is an outstanding exercise as noted in Exception 3 and is dependent on the outcome of VR#923.

(Note: In addition to the client's Event History the error/exception messages would be displayed on a "new" OBMAN screen. Please refer to IRS202 Resolve Exceptions for details).

Message	Description
Benefit has been reduced	New code given with the Transaction successful code (50000) when APPLYSANCTION has been successfully processed resulting in a benefit reduction.
Benefit has been suspended	New code given with the Transaction successful code

Message	Description
	(50000) when APPLYSANCTION has been successfully processed resulting in a benefit suspension.
Benefit has been cancelled	New code given with the Transaction successful code (50000) when APPLYSANCTION has been successfully processed resulting in a benefit cancellation.
Sanc G3 & supps paid - review Clnt/Prtnr	Grade 3 sanction resulting in 50% reduction received and client is a Youth client with supplementaries.
Primary has a 0.00 rate, please check	A grade 3 sanction is being applied where a client has a 0 rate record (result of a warrant to arrest).
Client not recognised	Client provided does not exist (CLINT)
Client has no work obligations	The client is not work testable (WAMI)
Benefit status is not current	An Employment Plan client or a sole parent does not have a current (service status is other than 3) work testable benefit. When the clean slate status is "F" – Clean Slate Failure, the benefit must be current (SBEN) and must not be a "W" – Employment Plan benefit (SERVT).
Client has an exemption	The client has an exemption
Sanction is pending	Sanction is pending. This means that the client has a sanction (other than "VU" – Voluntary Unemployment) waiting to be applied which has not been re-complied or appealed (WAMI). Change Type is APPLYSANCTION and sanction code is "WTF" and sanction date is 0.
Sanction already in place.	Sanction in place. This means that the client has an applied sanction (other than "VU" – Voluntary Unemployment) which has not as yet been re-complied or appealed (WAMI). Change Type is APPLYSANCTION and sanction code is "WTF" and sanction date is > 0.
Re-compliance already in place	The client has a re-compliance pending or in place. This means the latest work test details (WAMI) are showing one of the following re-compliance codes: "RCO" – Re-compliance "WIP" "132" – Re-complied by district "99". "317"
Sanction grade must be 1-4	An APPLYSANCTION has been received but the Sanction Grade provided is not 1-4.

Message	Description
Only a grade 3 or 4 sanction can be clean-slated	A COMPLETERAO change type has been received but the sanction level is not 3 or 4.
Client has not had their sanction lifted.	A COMPLETERAO change type has been received but the sanction has not been lifted.
Client has been clean-slated	<p>The client has a clean slate. This means the latest work test details (WAMI) show a re-compliance code of "CLE" – Clean Slate.</p> <p>The client's "VU" – Voluntary Unemployed stand down has already been clean slated (SSTDW). This means the stand down has a waive reason code of "328" – VU penalty waived, undertaken clean slate activity. The stand down must have an end date on or after the clean slate effective date.</p> <p>SOLO wants to apply a clean slate status of "C" – Clean Slate but the client does not have a "VU" – Voluntary Unemployed stand down (SSTDW), and their 3rd work test failure (WAMI) has already been re-complied with a "CLE" – Clean Slate.</p>
Sanction has been appealed.	<p>The client has appealed the sanction. This means the latest work test details (WAMI) show a re-compliance code of "APP" – Appeal.</p> <p>Change type is LIFTSANCTION but the sanction has been appealed.</p>
A VU stand-down is in place.	The client has a current "VU" – Voluntary Unemployment stand down imposed (SSTDW).
The client and/or partner is locked	The client and/or their partner is locked (LOKS).
Client's VU stand-down has been waived.	A COMPLETERAO Change Type has been received but the client has had their stand-down waived.
Client receives a portable benefit	PC2 client, sanction N/A
Calculated rate less than zero – sanction not applied	<p>Calculated rate less than zero, sanction not applied.</p> <p>Calculated rate not less than zero but less than sum of the client's Miscellaneous Subsidies where reason for payment is "523" – RePlace (Accommodation) or "524" – ReCover (Children), sanction not applied.</p>
The re-compliance date is prior to the sanction date.	The re-compliance effective date is prior to the sanction date
50% payment protection – sanction not applied	The benefit rate could not be reduced due to the 50% protection rule. Note however that the sanction is recorded on the work obligation record.

4.2.2 Security & Permissions

The following table provides an indication of the security permissions for this record (to be confirmed at a later date).

Role	Additional Constraint	Create	View	Update	Delete
All users who have access to OBMAN to Event History and Failure screen		x	✓	x	x

5 Presentation / Screens

5.1 Indicative to-be view for OBMAN Failure Screen Shot:

Failure Grade 2 Failure Date 9/12/2013 Status Benefit Cancelled
Sanction Applied 19/12/2013 Deactivation Date 2/4/2015
Sanction Lifted 24/12/2013
[Hide Details](#)

Failures Event History

1 Failure

Type Work Status Benefit Cancelled

Failure Details

Date 9/12/2013

Reason Actively participate in activity

Comments did not attend trial for ATC programme.

Recompliance Details

Date 24/12/2013

Comments Evidence provided at 23/12/13 appt to show that the client was in court, was also told by ATC that he needed to provide a CBD

Plan Item Being available to contact

Activity Being available to contact

Start 24/12/2013 End 1/1/1970

Deactivation Details

Date 2/4/2015

Reason Benefit Cancelled

Comments Failure deactivated by the system

“Sanction Lifted” field should display the OBMAN generated date when lifting of sanction was requested.

5.2 Indicative to-be view for OBMAN Event History Screen Shot:

Failure Grade 2 Failure Date 9/12/2013 Status Benefit Cancelled
 Sanction Applied 19/12/2013 Deactivation Date 2/4/2015
 Sanction Lifted 24/12/2013
[Hide Details](#)

Failures Event History

Failure History

Show 10 entries Filter:

Event	Date/Time	Created By
Deactivating WORK failure with reason Benefit Cancelled	2/4/2015 09:12	gkell001
Client failure grade changed to 0	2/4/2015 09:12	gkell001
Failure set to Recompiled	24/12/2013 13:26	mpaea001
Creating failure reason for WORK with failure grade 2	9/12/2013 10:13	mconn002
Creating failure reason WORK with reason Actively participate in activity	9/12/2013 10:13	mconn002

Showing 1 to 7 of 7 entries First Previous Next Last

1. Where benefit has been successfully lifted, the screen should display the following:
 - a. under "Event":
 - Sanction lifted
 - Manual action (if any) required (e.g. backdated review)
 - b. under "Date/Time":
 - Date/Time of SWIFTT response to OBMAN
 - c. under "Created by":
 - System
2. Where benefit could not be successfully lifted, the screen should display the following:
 - a. under "Event":
 - Error message (returned by SWIFTT) (Please see Exception 3)
 - b. under "Date/Time":
 - Date/Time of SWIFTT response to OBMAN
 - c. under "Created by":
 - System or User Id (depending on who triggered off the event)

5.3 "Restart RAO" function

1. The "Restart RAO" function shall be hidden from all users.
 - a. Note: The "Restart RAO" function does not currently function due to an existing production defect. Resolving this production defect is outside the scope of the SOLO Retirement Project, however to reduce user confusion the business has accepted the removal of this function.

6 Issues / Questions

This list provides details of questions and issues that arose during the specification phase.

#	Item	Owner	Status
1	<p>If sanction is successfully lifted, should the user be able to view the Client Numbers (for which sanction has been successfully lifted), the effective date (i.e. date when sanction is lifted) and any manual action (if required) in OBMAN Event History?</p> <p>This information wouldn't be immediately visible in CMS. Is there any point of displaying this in OBMAN considering only Grade 1 and Grade 2 social obligations failure would be re-complied directly in OBMAN?</p> <p>If this information needs to be displayed in OBMAN then exactly what should be displayed on screen?</p> <p>Update: Yes, Event History should be updated. This should be viewed on each individual clients record in OBMAN</p>	Out of scope	Closed
2	<p>As per current process, if sanction is not successfully lifted, is the user able to view in Event History the Client Numbers (for which sanction could not be lifted), error message and manual action (if any) required?</p> <p>This information wouldn't be immediately visible in CMS. Is there any point of displaying this in OBMAN considering only Grade 1 and Grade 2 social obligations failure would be re-complied directly in OBMAN?</p> <p>If this information needs to be displayed in OBMAN then exactly what should be displayed on screen?</p> <p>Update: Yes, Event History should be updated. This should be viewed on each individual clients record in OBMAN</p> <p>Note: IRS202 Resolve Exceptions – addresses business requirements regarding informing users and allowing users to handle exceptions where (a) sanction is unsuccessful (b) lift is unsuccessful (c) manual action/review is required.</p>	Out of scope	Closed
3	<p>As per the current system functionality if user resets RAO status to "Started" from an initial value of "Failed", then SWIFTT is not informed. In that case will SWIFTT be notified to lift sanction once RAO status is set to "Completed" through a batch job?</p> <p>Update: It does not impact SWIFTT because the benefit in SWIFTT would have to be manually re-granted by a Case Manager when RAO is reset to Started from Failed.</p> <p>Update 908/05) Stated in Business Rules, Section 4.1.1.2 and Table 9.1 (RAO reset from Failed to Started).</p>	Out of scope	Closed

4	<p>Should there be an exceptions report generated by OBMAN comprising of details like Client Numbers, error message and manual action (if any) required for the sanctions that could not be lifted by SWIFTT?</p> <p>Update – Need to find out if the current “Tranzit Exceptions” database report generated through a ControlM job draws out data from the SOLO database.</p> <p>It has been confirmed by Out of scope (Oracle DBA) that the “Tranzit Exceptions” report is generated by a standalone Database report script scheduled via ControlM and is managed by the DBA team. It has been confirmed by Out of scope that the report is not generated by IAP.</p> <p>This is dependent on the outcome of VR #770.</p> <p>Update (08/05): See update to Exception 2.</p> <p>Update (18/05): The business has indicated a separate Exception Report is not required because the “new” screen to be built in OBMAN will display all exceptions for all clients (as opposed to the client in focus). These requirements will be covered in IRS202 – Resolve Exceptions.</p>	Out of scope	Closed
5	<p>Currently is Event History updated currently when a sanction is not lifted?</p> <p>Update: Response - No</p>	Out of scope	Closed
6	<p>Currently is Event History updated currently when a sanction is lifted?</p> <p>Update: Response - No</p>	Out of scope	Closed
7	<p>(Out of scope) Is there a need to send a Lift Sanction message to SWIFTT for re-starting RAO? (Requirements say no, but it seems like that is incorrect for the case for when a client has kids, as their benefit never gets cancelled so should automatically be lifted)</p> <p><i>Outcome (meeting 19/10/2015): The ‘Restart RAO’ function doesn’t currently work – this is an existing Production defect because Restart RAO was built in OBMAN without corresponding functionality in SWIFTT to make it work. Resolving this production defect is outside the scope of the SOLO Retirement Project, however to reduce user confusion the business has accepted the removal of this function.</i></p>	Out of scope	Closed

7 Exceptions List

This list provides details of items that have yet to be resolved at the point where the specification has been released to the development team to start analysis, design and development activities.

NB. These items to be tracked separately in the Decisions Register.

#	Item	Owner	Status
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1	<p>Where the sanction lifted date returned by SWIFTT is different to OBMAN generated "sanction lifted date", this should display in the exception screen or report to be looked at and resolved, but not displayed to the user. These need to be addressed with urgency as MSD is failing to pay the client full and correct entitlement (FACE).</p> <p>The outcome of VR#748, #770 and #771 will decide where/how this business requirement will be implemented.</p> <p>Update (08/05) Emailed Nigel asking him where currently this information is displayed.</p> <p>Nigel's response – "The NZESLNKS report gives a line item that states that a Back Dated Review (BDR) may be required (or something of that nature). Helen has advised me this means that either the sanction date, or the sanction lifted date is out of sync between SWIFTT and SOLO.</p> <p>We require there to be a notification to cover these same scenarios (although, hopefully we can make the message(s) more specific in future) in the function that is replacing this report."</p> <p>Since IAP will generate the replacement NZESLINK reports so passed on the requirement to Subbu who is managing the Reporting project.</p>	Out of scope	Closed
2.	<p>A decision is awaited on the mechanism for reporting exceptions (e.g. unsuccessful lifting of sanctions). Options being discussed are:</p> <ol style="list-style-type: none"> A new OBMAN screen displaying exceptions for all clients (as opposed to a client in focus) A report generated by the OBMAN database A report generated by IAP using data from the OBMAN database <p>This is logged in the Variations/Decisions Register ref #748, #770 and #771.</p> <p>Update: Decisions are:</p> <p>#748 – New OBMAN screen will be built – requirements will be covered in IRS202 Resend Failed Transactions.</p> <p>#770 – A separate report (replacement of Transit Exception Report) will not be required by the business if the new OBMAN screen (#748) shows all failed transactions for all clients and users are given a facility to save/print a version of failed transactions presented on the OBMAN screen. Requirements will be covered in IRS202 Resend Failed Transactions.</p> <p>#771 – The replacement ISLINK reports would be replaced by IAP reports.</p>	Out of scope	Closed
3	<p>Mapping of error codes and error messages returned by SWIFTT to OBMAN.</p> <p>Once the SWIFTT team makes the list of error codes and error</p>	Out of scope	Open

	<p>messages returned by SWIFTT to OBMAN available, a mapping exercise needs to be carried out with the business deciding on exact error message wording that should be displayed in OBMAN screen/reports.</p> <p>Update (12/06/15) Raised VR#923 the outcome of which would determine if/when the mapping exercise would be done.</p>		
4	<p>A decision is awaited if OBMAN needs to make data available for reporting in cases where:</p> <ul style="list-style-type: none"> a. Sanction lifting is successful but further manual action is required. b. Date when sanction was actually lifted in SWIFTT is different than the date requested by OBMAN to lift sanction. <p>Currently that information is reported on by SWIFTT through the ISLINK reports and retrieved by users through Reports Online.</p> <p>This is logged in the Variations/Decisions Register ref #771.</p> <p>Update: #771 – The replacement ISLINK reports would be replaced by IAP reports.</p>	Out of scope	Closed

8 Variations

List here any Variation Requests that have been raised as a result of the analysis for this function.

The VR register is the master of change information, and should be referenced for details of any VRs raised (e.g. owner, status etc).

VR#	Description
748	<p>SOLO-003 Apply similar functionality added for Warrants to Arrest (WTA), i.e. to automatically apply the 50% sanction where there are too many payees and debt offsets for the client. When the payment extract runs the payee redirections are ignored.</p> <p>Note: This is currently reported in TRANZIT SOLO Exceptions report as error code #47 and actioned manually. Non-Functional Requirements.</p> <p>HP order of magnitude ^{s9(2)(b)(ii)} 6 - 10 weeks effort.</p>
770	<p>The Tranzit Exception report contains Work Test Failure (WTF) errors (Error Code #47) and other exception/error information some of which is related to ISLINK errors. Currently the Tranzit Exception report is generated by a sequel script that collects relevant data from the SOLO database. The generation of the report and its delivery to Data_Integrity@msd.govt.nz and MSD_BSA@msd.govt.nz is scheduled through a control M job. The process is managed by Oracle DBAs.</p> <p>It has been confirmed that IAP does not generate the report.</p> <p>The report will cease to exist once SOLO is decommissioned.</p> <p>A decision is required on the solution for presenting exceptions/errors (e.g. WTF#47) to the business through a report once SOLO is gone.</p>
771	<p>Currently there are 5 ISLINK reports generated by SWIFTT. The reports are available on Reports Online and are used by Data Integrity Unit. SWIFTT will</p>

	<p>not generate these reports once the ISLINK is decommissioned. Following is the list of current ISLINK reports and an indication if going forward the business needs the information reported on daily for doing their job:</p> <ol style="list-style-type: none"> 1. NZES Enrolment Details Received – Not Required 2. NZES Error Messages Received - Not Required 3. Re-compliance/Clean Slate/ Appeal Received – Is Required 4. PA01 Sanction Received – Is Required – This will have two error message – <ul style="list-style-type: none"> • Back dated review required • Sanction Received Client has 50% payment protection 5. Sanction not applied – client has 50% payment protection - Not Required as information is duplicated in PA01 <p>A decision is needed for a solution for presenting the information required by the business through a daily report(s) once the ISLINK is gone.</p>
923	<p>It is a business requirement to translate messages returned by SWIFTT to OBMAN succinctly so that they contain the message, cause and the remedial action. ^{Out of scope} suggested discussion with ^{Out of scope} should be held about what would be involved in changing the messages in SWIFTT.</p>

9 Appendix

9.1 Business Rules for Apply and Lift Sanction – a tabulated view

	IRS#	Failure Grade	Failure Status	TLS Status	RAO indicator	OBMAN Action	Triggered when in OBMAN?
i.	IRS237	1 or 2	Fail	ORANGE: If no sanction RED: If sanction applied	Null	Send OF1 / OF2 to SWIFTT to advise sanction	In X+1 working days
ii.	IRS239	1 or 2	Re-complied (after X+1 days elapsed)	GREEN	Null	Send "RECOMPLY" notification to SWIFTT to Lift sanction	Immediately when Failure status = Re-complied
iii.	IRS237	1 or 2	Re-complied (before X+1 days elapsed)	GREEN	Null	Don't send sanction notification to SWIFTT	
iv.	IRS239	1 or 2	Overtured (after X+1 days elapsed)	GREEN	Null	Send "OVERTURN" notification to SWIFTT to Lift sanction	Immediately when Failure status = Overtured
v.	IRS237	1 or 2	Overtured	GREEN	Null	Don't send sanction notification to SWIFTT	

	IRS#	Failure Grade	Failure Status	TLS Status	RAO indicator	OBFMAN Action	Triggered when in OBFMAN?
			(before X+1 days elapsed)				
vi	IRS239	1 or 2	Deactivated (after X+1 days elapsed)	GREEN	Null	Send DEACTIVATE notification to SWIFTT to Lift sanction.	Immediately when Failure status = Deactivated
vii	IRS239	1 or 2	Deactivated (before X+1 days elapsed)	GREEN	Null	Don't send sanction notification to SWIFTT	
viii	N/A	1 or 2	Failed in Error (can be done on the same day when failure is created)	GREEN	Null	Don't send sanction notification to SWIFTT	
ix	N/A	1 or 2	Superseded	ORANGE: If no sanction RED: If sanction imposed	Null	Don't send sanction notification to SWIFTT	
x	IRS239	1 or 2	Benefit cancelled	RED	Null	Don't send sanction notification to SWIFTT	
xi	IRS237	3	Fail	ORANGE: If no sanction RED: If sanction imposed	Null (Not started)	Send OF3 to SWIFTT to apply sanction	In X+1 working days
xii	IRS239	3	Re-complied (after X+1 days elapsed)	GREEN	Started	Send STARTRAO for SWIFTT to Lift sanction.	Immediately when Failure status = Re-complied & RAO indicator = Started
xiii	IRS237	3	Re-complied (before X+1 days elapsed)	GREEN	Started	Don't send sanction notification to SWIFTT	
xiv	IRS237	3	Resulted (after X+1 days elapsed)	GREEN***	Failed	Send FAILRAO for SWIFTT to apply sanction	Immediately when Failure status = Resulted & RAO indicator = Failed

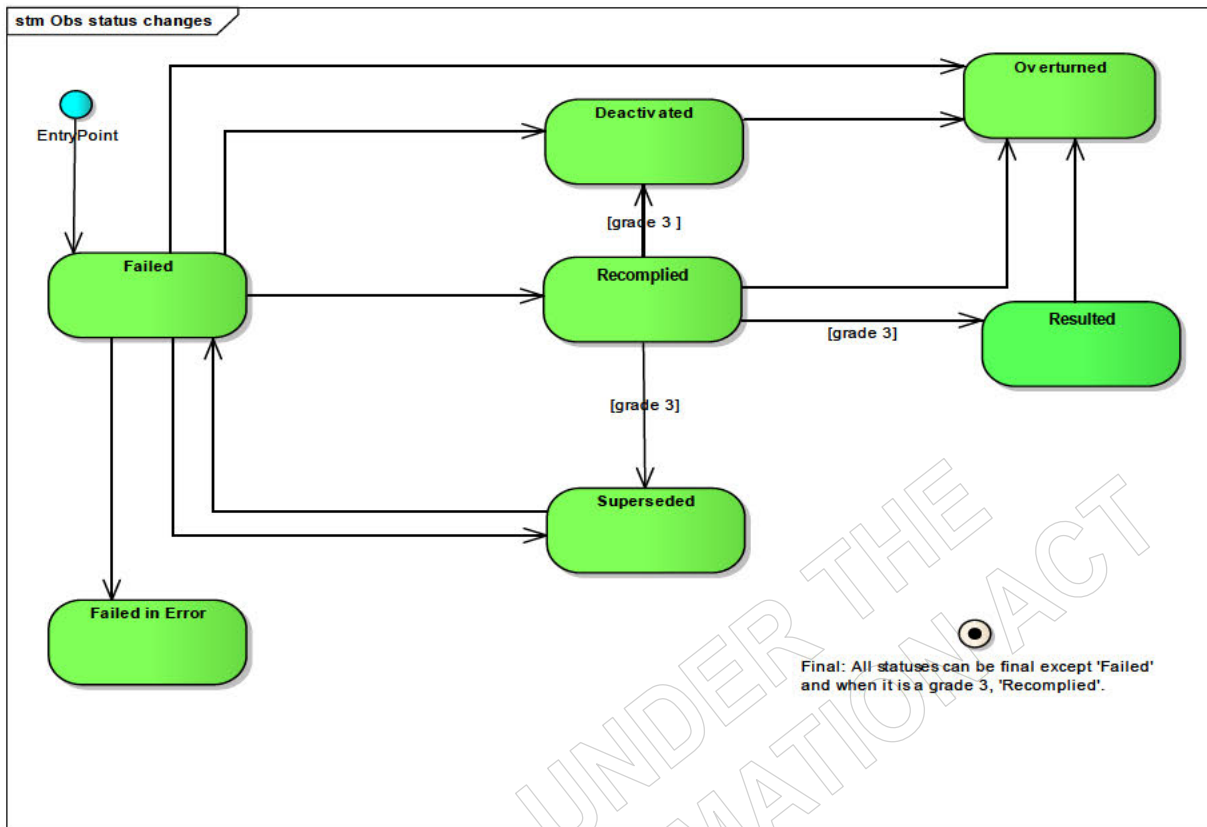
	IRS#	Failure Grade	Failure Status	TLS Status	RAO indicator	OBMAN Action	Triggered when in OBMAN?
xv.	IRS237	3	Resulted (before X+1 days elapsed)	GREEN***	Failed	Send FAILRAO for SWIFTT to apply sanction	In X+1 working days
xvi.	IRS239	3	Resulted	GREEN***	Completed	Send COMPLETERAO to SWIFTT	Immediately when Failure status = Resulted & RAO indicator = Completed
xvii.	IRS239	3	Re-complied		Reset to Started from Failed	**Don't send sanction notification to SWIFTT.	"Restart RAO" function removed
xviii.	IRS239	3	Overtuned (after X+1 days elapsed)	GREEN	N/A	Send "OVERTURN" notification to SWIFTT to Lift sanction	Immediately when Failure status = Overtuned
xix.	IRS237	3	Overtuned (before X+1 days elapsed)	GREEN	N/A	Don't send sanction notification to SWIFTT	
xx.	IRS239	3	Deactivated (after X+1 days elapsed)	GREEN	N/A	Send DEACTIVATE notification to SWIFTT to Lift sanction.	Immediately when Failure status = Deactivated
xxi.	IRS239	3	Deactivated (before X+1 days elapsed)	GREEN	N/A	Don't send sanction notification to SWIFTT	
xxii.	N/A	3	Failed in Error (can be done on the same day when failure is created)	GREEN	N/A	Don't send sanction notification to SWIFTT	
xxiii.	N/A	3	Superseded	ORANGE: If no sanction RED: If sanction imposed	N/A	Don't send sanction notification to SWIFTT	
xxiv.	IRS239	3	Benefit cancelled	RED	N/A	Don't send sanction notification to SWIFTT	
xxv.	IRS237	4	Fail	ORANGE: Before sanction	Null (Not started)	Send OFJR to SWIFTT to apply sanction.	In X+1 working days

	IRS#	Failure Grade	Failure Status	TLS Status	RAO indicator	OBMAN Action	Triggered when in OBMAN?
xxvi.	N/A	4	Failed in Error (can be done on the same day when failure is created)	GREEN	Null	Don't send sanction notification to SWIFTT	
xxvii.	IRS239	4	Benefit cancelled	RED	N/A	Don't send sanction notification to SWIFTT	

Legend: ** As per the current system functionality a user can reset RAO status to "Started" from an initial value of "Failed" within 5 working days of original "Failed" and before the batch of 6 weeks. In this case the RAO "Failure" is sent through to SWIFTT *but* SWIFTT is not informed of the re-set value of RAO "Started". A Case Manager may manually grant provisional benefit in SWIFTT as a result of the client starting RAO but this is outside of OBMAN's knowledge and that information does not flow back to OBMAN. Once Failure status is Resulted and "RAO status is Completed" (after 6 weeks batch run) OBMAN should notify SWIFTT of "COMPLETERAO". SWIFTT will keep a record of this for audit purposes but this will not be used to "lift" sanction because the assumption is benefit was already re-instated in SWIFTT manually when "RAO is Started". This is normal business as usual. This process should remain unchanged in the future.

*** As per the current system functionality, the Traffic Light System does not take into account the RAO status for a client. Therefore, the client's TLS status will not reflect the client's real state.

9.2 State Change diagram for Sub-Failure Status



Status	Description	TLS Status	Active?
Failed	Active failure has been triggered but not yet resolved in any way. It may have been unsuccessfully disputed.	ORANGE: If no sanction RED: If sanction imposed	Y
Re-complied	Failure re-complied by another separate activity in CMS or SO. Client gets benefit back but the failure grade advances.	GREEN	N for Fails 1 & 2, Y for fail 3 or 4.
Overturned	Failure has been successfully disputed and is wiped out as though it had not happened.	GREEN	N
Failed in Error	Failure was entered by mistake and can be removed during the same day. It is wiped out as though it had not happened. It is still displayed to the user.	GREEN	N
Deactivated	Either SWIFTT action on the benefit and obligations means that there are no relevant obligations or ending of Social Obligations and current failure is stopped and wiped out . The count continues as for Re-complied. (Subject to Interim solution – manual)	GREEN	N

Superseded	A Failure that has been removed by a Job Refusal failure on the same day. It may be reinstated if the JR is successfully disputed.	ORANGE: If no sanction RED: If sanction imposed	N
Resulted	A re-compliance for a 3 rd or 4 th Failure is still an active failure until the re-compliance activity outcome indicator is set to (F)ailed or (C)ompleted. It is resulted when RAO = F or C i.e. the 6-week activity has been completed or failed.	GREEN***	N
Benefit Cancelled	<p>This state for an Obligation Failure was implemented by CAPE-139.</p> <p>Prior to the existence of the “Benefit Cancelled” state, when a client’s benefit was cancelled in SWIFTT, OBMAN was not informed of the cancellation. If the client had any active obligation failure before their benefit was cancelled, the failures stayed active even when the client was no longer on any benefit, and the client’s failure grade also remained unchanged.</p> <p>As a result of implementing the “Benefit Cancelled” state, when a client’s benefit is cancelled in SWIFTT, their failure grade in OBMAN is reset, so that if they go back onto a new benefit, their failure grade will start from zero. SOLO is notified of the failure deactivation with a new Obligation Failure status of “Benefit Cancelled”. SOLO does not send any letters to ECS nor notify SWIFTT of the deactivation for this reason code.</p>	RED	N

9.3 Glossary

OBMAN	Obligation Failures Management application
OBMAN Failure	The overall failure which may consist of several SubFailures; known to the business as a Failure. Held in SOLO as Work Test Event.
SubFailure	Known to the business and on OBMAN screens as Failure Reason. Held in SOLO as Work Test Reason but referred to as ‘Failure Item’.
Failure grade	An obligations failure will be graded at 1, 2 or 3 sequentially according to how many the client has failed and resolved. Failure Grade 4 denotes a Job Refusal failure and can happen at any time. Different failure grades impose different sanctions.

Active/Inactive	A Failure is active if not yet resolved. When its status is changed to be, for example, re-complied, it is inactive.
Job Refusal	A work-testable client has refused a job offer as recorded in RecruitMe. The Failure Grade is set to 4 and the sanctions are the same as those for a grade 3 failure.
Dispute type	What used to be known in SOLO as Dispute, and on the database as Appeal, is held as two types: Dispute – which used to be the SOLO Case Manager Review - and Review – which used to be the SOLO Review of Decision.
RAO	<p>Re-compliance Activity Outcome</p> <p>RAO is only displayed for a 3rd or 4th failure with a status of Re-complied. Re-compliance Activity indicator is set once the 6 week re-compliance activity is started. The user may update the RAO indicator to 'Failed' or 'Started' on a failure reason with status of 'Re-complied' and a Failure grade of 3 or 4. RAO indicator 'Completed' is only set by the batch job. Failure Status is changed to "Resulted" when RAO indicator is set to "Failed" or "Completed".</p> <p>RAO indicator 'Completed' may only be updated less than 42 calendar days after the Re-compliance date.</p>
TLS	<p>Traffic Light System</p> <p>The Traffic Light System is a visual indicator to immediately display client's compliance with their work and/or social obligations.</p> <ol style="list-style-type: none"> 3. GREEN: No active failed obligations, or has recompiled an obligation failure 4. ORANGE: Has an active obligation failure, and is within the 5-day working day dispute period 5. RED: Has an active obligation failure, and as a result, has had a sanction imposed <p>NOT APPLICABLE: Client is not subject to the Traffic Light System</p>

9.4 As-is view of OBMAN Failure Screen Shot:

Failure Grade 2 Failure Date 9/12/2013 Status Benefit Cancelled
 Sanction Applied 19/12/2013 Deactivation Date 2/4/2015
 Sanction Lifted 24/12/2013
[Hide Details](#)

Failures | **Event History**

1 Failure

Type	Work	Status	Benefit Cancelled
Failure Details			
Date	9/12/2013		
Reason	Actively participate in activity		
Comments	did not attend trial for ATC programme.		
Recompliance Details			
Date	24/12/2013		
Comments	Evidence provided at 23/12/13 appt to show that the client was in court, was also told by ATC that he needed to provide a CBD		
Plan Item	Being available to contact		
Activity	Being available to contact		
Start	24/12/2013	End	1/1/1970
Deactivation Details			
Date	2/4/2015		
Reason	Benefit Cancelled		
Comments	Failure deactivated by the system		

9.5 As-is view of OBMAN Event History Screen Shot:

Failure Grade 2 Failure Date 9/12/2013 Status Benefit Cancelled
 Sanction Applied 19/12/2013 Deactivation Date 2/4/2015
 Sanction Lifted 24/12/2013
[Hide Details](#)

Failures | **Event History**








Failure History

Show entries Filter:

Event	Date/Time	Created By
Deactivating WORK failure with reason Benefit Cancelled	2/4/2015 09:12	gkell001
Failure set to Benefit Cancelled with effective date of 2/4/2015	2/4/2015 09:12	gkell001
Client failure grade changed to 0	2/4/2015 09:12	gkell001
Recomply failure Work for activity Being available to contact	24/12/2013 13:26	mpaea001
Failure set to Recomplied	24/12/2013 13:26	mpaea001
Creating failure reason for WORK with failure grade 2	9/12/2013 10:13	mconn002
Creating failure reason WORK with reason Actively participate in activity	9/12/2013 10:13	mconn002

Showing 1 to 7 of 7 entries First Previous 1 Next Last

9.6 References:

	Name	Objective Link
1	Social Obligations in OBMAN – Handover to BAU	 ObjRef.obr
2	OBMAN User Stories - Social Obligations	 ObjRef.obr
3	OBMAN – Manage Obligations (MOB) User Stories	 ObjRef.obr
4	Manage Obligations (MOB) in OBMAN – Handover to BAU	 ObjRef.obr
5	Service Contract SC846 – Advise Sanction	 SC846.obr
6	SOLO Retirement - Integration Architectural Options	 SOLO Retirement - Integration Architectural Options.obr
7	SWIFTT System Design	 SWIFTT_Solo_Replacement_Changes_SD.obr