IRS237 Advise Sanction

As a system I want to inform SWIFTT of an Obligation Failure for a client so that benefit sanction can be applied and record the response from SWIFTT.	Status	Final	
	Date	03/11/15	
Customisation: N/A	Version	1.4	
Impacted Systems: OBMAN, SWIFTT OBMAN will advise SWIFTT of benefit sanctions. SWIFTT will receive sanction information from OBMAN, process the sanctions, advise OBMAN of the sanctions that were successful and those that were unsuccessful. (Note: SC846 will be used by OBMAN and SWIFTT to send and receive information.)	Author	Out of scope	

1   Overview

Currently OBMAN informs SOLO of obligation failures. SOLO associates all failures sent on the same day for a single client to a single "Failure". If there is no change to the status of the Failure 5 working days after it was created, then SWIFTT is notified to apply a sanction to the client's benefit (which may be a 50% reduction or a complete suspension or a cancellation). SWIFTT sends a response to SOLO advising which of the requested sanctions were successful and the ones those were not.

It is envisaged that once SOLO is retired, OBMAN will advise SWIFTT to apply benefit sanctions for clients who failed to meet their obligations. SWIFTT will send a response to OBMAN advising which of the requested sanctions were successful and the ones that were not.

2   Traceability

Dependency - IRS236 Generate Obligation Fail Letter Request

Dependency - IRS262 Configure Obligation Notice Period

Dependency - IRS239 Lift Sanction

Dependency – IRS202 – Resolve Exceptions

3   Acceptance Criteria

3.1 Request SWIFTT for sanction of benefit

The system should request SWIFTT to sanction a client if the client has an obligation failure (X+1) working days after the creation date of the failure.

Note: X is parameter driven. A privileged user (e.g. System Administrator) should be able to change the value of the parameter. Refer to IRS262 Configure Obligation Notice Period for details.

3.2 Receive response from SWIFTT

The system should receive a response from SWIFTT advising if the sanction was successfully applied 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 in the 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 about the Obligation Failure and requested 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 applied	Date	Mandatory	Auto-populated by OBMAN
Change Type	Indicate whether to apply or lift sanction – in this case "apply sanction"	Text APPLYSANCTION	Mandatory	Auto-populated by OBMAN
Change Reason	Reason why sanction is applied	Alpha-numeric OF1, OF2, OF3, OFJR, FAILRAO	Mandatory	Auto-populated by OBMAN

4.1.1 Business Rules

4.1.1.1 BR Determine initial status of the Failure

System determines the status of the Obligation Failure for a client as:

- OF1- Grade 1 obligation failure
- OF2- Grade 2 obligation failure
- OF3- Grade 3 obligation failure (Re-compliance Activity Outcome – RAO – not started)

- OFJR - Job Refusal obligation failure (Re-compliance Activity Outcome – RAO – not started)

4.1.1.2 BR Determine Traffic Light Status

System determines the Traffic Light Status for a client as:

- GREEN: No active obligation failure or recomplied obligation failure
- ORANGE: Failed obligation, no sanction applied yet (within dispute period).
- RED: Obligation failure, sanction applied.

4.1.1.3 BR Start Timer

System starts the timer for all clients except YP/YPP clients as:

a. Start date = Date when Failure Letter is generated

b. End date = X +1 working days from Start date

For YP/YPP clients the system shall start timer as:

a. Start date = Failure creation date

b. End date = X+1 working days from Start date

Note: X is parameter driven. A privileged user (e.g. System Administrator) should be able to change the value of the parameter. Please refer to IRS262 Configure Obligation Notice Period for details.

Please refer IRS236 Generate Obligation Fail Letter Request for "Date when Failure Letter is generated". Example:

Assuming x is 7 working days, so x + 1 = 8,
If Failure is created on Monday 17/08/15 then sanction date should be Thursday 27/08/15.
If Failure is created on Friday 21/08/15 then then the sanction date should be Wednesday 02/09/15.

4.1.1.4 BR Stop timer

If system determines the status of the Failure for the client is changed to any of the following values _before_ (X+1) working days elapse then system will stop the timer immediately and will not inform SWIFTT:

- Deactivated
- Failed in error
- Superseded
- Re-complied
- Overturned
- Benefit cancelled

4.1.1.5 BR Advise SWIFTT to apply sanction

1. If system determines the timer stops <u>after</u> (X+1) working days elapse from the start date of the failure event then system will inform SWIFTT that client's benefit should be sanctioned for not meeting obligations.

2. The system will pass on the following details to SWIFTT while advising to <u>apply benefit sanction</u>:

a) Client Number

b) Effective date - The date when sanction should be applied

c) Reason why sanction is being applied which is one of the following:

- OF1- Grade 1 obligation failure

- OF2- Grade 2 obligation failure

- OF3- Grade 3 obligation failure

- OFJR - Job Refusal obligation failure

3. The system should send an <u>immediate</u> notification to SWIFTT to apply sanction for clients who fail the 6 weeks Re-compliance Activity i.e. Failure for the client is changed to Resulted (RAO – Failed). The details passed on are:

a) Client Number

b) Effective date - The date when sanction (benefit cancellation in this case) should be applied

c) FAILRAO - Failed 6 weeks Re-compliance Activity Outcome (RAO)

4. The system will receive an acknowledgment from SWIFTT that it has received the request.

Please refer to the Business Rules for Apply and Lift Sanction table in the Appendix (section 9.2) for a tabulated view of the rules.

4.1.1.6 BR Definition of "working day"

Working day means a day of the week other than-

a. a Saturday, a Sunday, Waitangi Day, Good Friday, Easter Monday, Anzac Day, the Sovereign's birthday, and Labour Day; and

b. if Waitangi Day or Anzac Day falls on a Saturday or a Sunday, the following Monday; and

c. a day in the period commencing on 25 December in any year and ending with 15 January in the following year.

4.1.1.7 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 benefit has been successfully sanctioned, the system should update the Event History with:

a. Sanction details (i.e. if benefit was reduced by 50% or suspended or cancelled)

      b.   Manual action (if any) required (e.g. backdated review)

2.   Where benefit could not be successfully sanctioned, the system should update the Failure screen as follows:

      a.   Error message (yet to be mapped noted as Exception 3)

Please refer to section 5 of this doc for indicative to-be views of the screen shots.

4.1.1.8 BR Update Failure screen

The system should update the Failure screen with the Sanction Applied date (this is the OBMAN generated date when OBMAN requests SWIFTT to sanction client's benefit)

Please refer to section 5 of this doc for indicative to-be views of the screen shots.

4.1.1.9 BR Sanction Effective Date for RAO

1.   The "Effective Date" for the sanction notification to SWIFTT when a client fails a 6 weeks Re-compliance Activity is whichever of the following dates occur **last**:

      a.   The date that the client started the 6 weeks Re-compliance Activity, or

      b.   (X+1) working days from the Failure Creation Date.

Examples:

      a.   If a client starts and fails RAO before the end of (X+1) working days from the Failure Creation Date, a sanction message shall be sent at the end of (X+1) working days from the Failure Creation Date to SWIFTT to apply a sanction.

      b.   If a client starts RAO before the end of the (X+1) working days from the Failure Creation Date, then fails RAO after the end of the (X+1) working days from the Failure Creation Date, a sanction message shall be immediately sent to SWIFTT to apply a sanction with an effective date of the end of the (X+1) working days from the Failure Creation Date.

      c.   If the end of the (X+1) working days from the Failure Creation Date passes without the client starting RAO, a sanction message shall be sent on the date of the end of the (X+1) working days from the Failure Creation Date to SWIFTT to apply a sanction.

          a.   If the client starts RAO after the end of the (X+1) working days from the Failure Creation Date, the benefit of the client will be reinstated.

      d.   If the client starts RAO after the end of the (X+1) working days from the Failure Creation Date then subsequently fails RAO within 13 weeks from the Failure Creation Date, a sanction message shall be immediately sent to SWIFTT to apply a sanction with an effective date of the date that the client started the 6 weeks Re-compliance Activity.

4.2 SWIFTT Response to OBMAN

Name	Description	Type / Value	Rules	Population
Client Number	Unique client identifier	Numeric	Mandatory	Auto-populated by SWIFTT
Sanction applied date	The date when the benefit is affected from. In case of an unsuccessful sanction, SWIFTT does not return any date	Date	If available	Auto-populated by SWIFTT
Change Type	Indicate whether sanction has been applied	Text APPLYSANCTION	If available	Auto-populated by SWIFTT
Error message	Describing the reason why SWIFTT could not apply the sanction. Also displays manual action that may be required to rectify the error.	Text	Conditional Mandatory if SWIFTT couldn't apply sanction	Auto-populated by SWIFTT
Benefit reduced or suspended or cancelled		Alpha-numeric • Benefit reduced 50% • Benefit suspended • Benefit cancelled • Manual action required	Mandatory	Auto-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 (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:

Message	Description
	"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.
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	The client has a clean slate. This means the latest work test details (WAMI) show a re-compliance code of "CLE" – Clean Slate. 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. 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.
Sanction has been appealed.	The client has appealed the sanction. This means the latest work test details (WAMI) show a re-compliance code of "APP" – Appeal. Change type is LIFTSANCTION but the sanction has been appealed.
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	Calculated rate less than zero, sanction not applied. 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

Message	Description
	(Children), sanction not applied.
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		✘	✔	✘	✘

5 Presentation / Screens

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

"Sanction Applied" field should display the OBMAN generated date when applying of sanction was requested.

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

- Where benefit has been successfully sanctioned, the screen should display the following:

    a. under "Event":

        - Sanction details (i.e. if benefit was reduced by 50% or suspended or cancelled)

        - 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

- Where benefit could not be successfully sanctioned, 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

6 Issues / Questions

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

#	Item	Owner	Status
1	Should a screen be built in OBMAN for transactions that have failed (e.g. WTF047) that will enable users to select a record and re-send the same to SWIFTT? This is a current functionality in SOLO. (Note: There is a dependency of SWIFTT automating the processing of 50% deduction where there is not enough benefit due to too many payees and debt offsets. If SWIFTT automates the processing as in the case of warrants to arrest then there will be no need to build this screen in OBMAN. The current business process is: The TRANZIT SOLO Exceptions report with error codes e.g. #47 advises DIU users of the 50% reductions that couldn't be processed in SWIFTT. The users have to then manually reduce the payee and debt offsets in SWIFTT so that there is enough benefit for the 50% reduction to be applied. Once the manual action in complete in SWIFTT the DIU user selects the failed transaction (#47) listed in SOLO and resends the same to SWIFTT. SWIFTT then applies the 50% reduction automatically. It has been confirmed that the SWIFTT change (SOLO-003) is not being implemented. This implies in addition to the exception report (listing the transactions that failed due to WTF #47) the user would also need a mechanism in OBMAN using which they can resend the failed (#47) transactions to SWIFTT after manually reducing the debt offsets in SWIFTT (as they do now). IRS237 accounts for the report/listing of exceptions but it does not account for the mechanism for resending the failed 50% reductions (#47). I'm currently in conversation with Out of scope regarding this. I've been advised that there will be a variation raised for this piece of work in OBMAN as this was not estimated for earlier. Update: Variation 748 has been raised.	Out of scope	Closed
2	Mapping of error codes and error messages returned by SWIFTT to OBMAN. Once the SWIFTT team makes the list of error codes and error 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. Update (13/04): Advice received from Out of scope in this regard: This mapping could mean that OBMAN and SWIFTT are quite tightly coupled, hence if SWIFTT returns a valid but unexpected error message, OBMAN may break.	Out of scope	Closed

	This has happened in the case of other SWIFTT services, where new (undocumented) error codes were returned. To avoid this, either 1) OBMAN uses the exact error values (codes & messages) returned by the SWIFTT service, which means that the 2 systems are decoupled or 2) if mapping is preferred, then an additional "catch all" mapping should exist in OBMAN. Update (16/04): OBMAN database will store the exact error codes and error messages as responded by SWIFTT. Update: (08/05) – Noted as Exception 3.		
3	TBC with Out of scope the exact mechanism used and the role SOLO database plays (if at all) for the report generation. Update: As per the current business process the "Tranzit Exception report" is generated by a standalone SOLO Database report script scheduled via Control^M and is managed by the DBA team (as confirmed by Out of scope , an Oracle DBA). It has been confirmed by Out of scope and his team that the "Tranzit Exception report" is not generated by IAP.	Out of scope	Closed
4	TBC with Out of scope - The current mechanism used to email the generated "Tranzit Exception report" to the following shared email ids: Data_Integrity@msd.govt.nz MSD_BSA@msd.govt.nz If this is done through a Control^M job then it has to be ensured that in future the same continues. Update: The current mechanism used to email the generated "Tranzit Exception report" is through a Control^M job.	Out of scope	Closed
5	Event History would need to be updated if SWIFTT does not return a date in case of an unsuccessful sanction. Out of scope has emailed the outstanding question to the business, waiting for their response. Update: Response received from Out of scope is as follows- In the To-be world is the requirement to display both (OBMAN requested and SWIFTT applied) dates for Sanction applied? a. If yes, what should the labels read for each date? • Obligation Failure Date: A • Sanction Applied: B • SWIFTT Effective Date: C • C should display as 'Not Applicable' until a date is returned. When c does not equal B, this should display in the exception screen to be looked at and resolved.	Out of scope	Closed

#		Owner	Status
	b. If no, which date should be displayed? What should the label read? • n/a		
6	(Teresa) What is the Sanction applied date if the client fails RAO before the apply date? *Outcome (meeting 19/10/2015):* The "Sanction Effective Date" for RAO is whichever of the following dates occur **last**: a. The "Start RAO" Date, or b. The end date of the Notice Period.	Out of scope	Closed
7	(Out of scope) What happens if a client fails RAO before the 13 week stand-down and never recomplies? How do they get their benefit reinstated / back to 100%? *Outcome (meeting 19/10/2015): After the 13 week stand-down expires, SWIFTT will allow a normal benefit application to be processed. The client would reapply through the standard benefit application process.*	Out of scope	Closed
8	(Out of scope) What happens if a client fails RAO after the 13 week stand-down? • Assuming the client has had their benefit reinstated / put back to 100%, will this cause them to be sanctioned all over again? • Or is it important to allow this and send the message to SWIFTT, as CM may need to create a debt for the period between when the client started RAO and when the 13 weeks passed? • Does the result of the RAO even matter (in a business sense) once the 13 weeks have passed? *Outcome (meeting 19/10/2015): Failing an RAO after the 13 week period is not possible, as the RAO has effectively expired.*	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
1	A decision is awaited on the mechanism for reporting exceptions (e.g. unsuccessful sanctions). Options being discussed are: a. A new OBMAN screen displaying exceptions for all clients (as opposed to a client in focus) b. A report generated by the OBMAN database c. A report generated by IAP using data from the OBMAN	Out of scope	Closed

	database		
	This is logged in the Variations/Decisions Register ref #748, #770 and #771.		
	Update: Decisions are:		
	#748 – New OBMAN screen will be built – requirements will be covered in IRS202 Resend Failed Transactions.		
	#770 – A separate report (replacement of Tranzit 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.		
	#771 – The replacement ISLINK reports would be replaced by IAP reports.		

2.	A decision is awaited if OBMAN needs to make data available for reporting in cases where:
	
	   a. Sanction is successful but further manual action is required (e.g. back dated review).
	
	   b. Date when sanction was actually applied in SWIFTT is different than the date requested by OBMAN to apply sanction
	
	 Currently that information is reported on by SWIFTT through the ISLINK reports and retrieved by users through Reports Online.
	
	 This is logged in the Variations/Decisions Register ref #771.
	
	 Update:
	
	 #771 – The replacement ISLINK reports would be replaced by IAP reports.
		Out of scope	Closed

3	Mapping of error codes and error messages returned by SWIFTT to OBMAN. Once the SWIFTT team makes the list of error codes and error 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. Update (05/06/15) – Added table in section 4.2.1 showing messages returned by SWIFTT. Update (12/06/15) Raised VR#923 the outcome of which would determine if/when the mapping exercise would be done.	Out of scope	Open

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	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. Note: This is currently reported in TRANZIT SOLO Exceptions report as error code #47 and actioned manually. Non-Functional Requirements. HP order of magnitude $50k - $100k 6 - 10 weeks effort.
770	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. It has been confirmed that IAP does not generate the report. The report will cease to exist once SOLO is decommissioned. 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.
771	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 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: 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 – • 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 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.
923	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.
1353	For YP/YPP clients OBMAN will request SWIFTT for sanction once notice period (X) elapses from failure date. This will be aligned with the current process in SOLO. a. Sanction date (YP/YPP clients) = Failure date + X + 1 Note: X is parameter driven. It will default to 7 working days at implementation. The consequence of the VR not being approved for go-live is OBMAN will not request SWIFTT to sanction any youth client (i.e. YP/YPP clients) for failing their obligations. As advised by Out of scope there is no manual method of sanctioning YP/YPP clients directly in SWIFTT for failing obligations. So the implication is no youth client will be sanctioned for obligation failures.

Jira reference for VR1353 - http://jira.ssi.govt.nz/jira/i#browse/RSOLO-514

9 Appendix

The following is an excerpt from MAP on how the 5 working day notice period is counted currently: (Note: 5 working day notice period will be a configurable parameter in OBMAN (IRS262 Configure Obligation Notice Period has more details on it)).

The five working day notice period is counted from the date after the obligations failure letter has been sent to the client, to allow for posting and delivery of the letter.

The five working day notice period excludes weekends, public holidays, or the period 25 December to 15 January each year.

The following table (**illustrated in MAP**) provides an example of how to count the notice period.

Day 0	Tuesday	**Automatic failure in CMS occurs overnight**
Day 0	Wednesday	**An obligations failure letter is sent**
Day 1 **Day 2**	Thursday Friday	**Five working day notice period begins**
Weekend		**Saturday-Sunday**
Day 3 **Day 4** **Day 5**	Monday Tuesday Wednesday	**Five working day notice period continues**
Day 6	Thursday	**Benefit sanction occurs in SWIFTT**

9.1 Legislation

- Procedure for imposing sanctions section 113 Social Security Act 1964
- Interpretation of a working day (definition) section 3(1) Social Security Act 1964

9.2 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?
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
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
IRS237	1 or 2	Re-complied (before X+1 days elapsed)	GREEN	Null	Don't send sanction notification to SWIFTT	
IRS239	1 or 2	Overturned (after X+1 days elapsed)	GREEN	Null	Send "OVERTURN" notification to SWIFTT to Lift sanction	Immediately when Failure status = Overturned
IRS237	1 or 2	Overturned (before X+1 days elapsed)	GREEN	Null	Don't send sanction notification to SWIFTT	
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
IRS239	1 or 2	Deactivated (before X+1 days elapsed)	GREEN	Null	Don't send sanction notification to SWIFTT	
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	
N/A	1 or 2	Superseded	ORANGE: If no sanction RED: If sanction applied	Null	Don't send sanction notification to SWIFTT	
IRS239	1 or 2	Benefit cancelled	GREEN	Null	Don't send sanction	

IRS#	Failure Grade	Failure Status	TLS Status	RAO indicator	OBMAN Action	Triggered when in OBMAN?
					notification to SWIFTT	
IRS237	3	Fail	ORANGE: If no sanction RED: If sanction applied	Null (Not started)	Send OF3 to SWIFTT to apply sanction	In X+1 working days
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
IRS237	3	Re-complied (before X+1 days elapsed)	GREEN	Started	Don't send sanction notification to SWIFTT	
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
IRS237	3	Resulted (before X+1 days elapsed)	GREEN***	Failed	Send FAILRAO for SWIFTT to apply sanction	In X+1 working days
IRS239	3	Resulted	GREEN***	Completed	Send COMPLETERAO to SWIFTT	Immediately when Failure status = Resulted & RAO indicator = Completed
~~IRS239~~	~~3~~	~~Re-complied~~		~~Reset to Started from Failed~~	~~**Don't send sanction notification to SWIFTT.~~	*"Restart RAO" function removed*
IRS239	3	Overturned (after X+1 days elapsed)	GREEN	N/A	Send "OVERTURN" notification to SWIFTT to Lift sanction	Immediately when Failure status = Overturned
IRS237	3	Overturned (before X+1 days elapsed)	GREEN	N/A	Don't send sanction notification to SWIFTT	
IRS239	3	Deactivated	GREEN	N/A	Send DEACTIVATE notification to	Immediately when Failure

IRS#	Failure Grade	Failure Status	TLS Status	RAO indicator	OBMAN Action	Triggered when in OBMAN?
		(after X+1 days elapsed)			SWIFTT to Lift sanction.	status = Deactivated
IRS239	3	Deactivated (before X+1 days elapsed)	GREEN	N/A	Don't send sanction notification to SWIFTT	
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	
N/A	3	Superseded	ORANGE: If no sanction RED: If sanction applied	N/A	Don't send sanction notification to SWIFTT	
IRS239	3	Benefit cancelled	GREEN	N/A	Don't send sanction notification to SWIFTT	
IRS237	4	Fail	ORANGE	Null (Not started)	Send OFJR to SWIFTT to apply sanction.	In X+1 working days
IRS239	4	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
IRS237	4	Re-complied (before X+1 days elapsed)	GREEN	Started	Don't send sanction notification to SWIFTT	
IRS237	4	Resulted (after X+1 days elapsed)	GREEN***	Failed	Send FAILRAO for SWIFTT to apply sanction.	Immediately when Failure status = Resulted & RAO indicator = Failed
IRS237	4	Resulted (before X+1 days elapsed)	GREEN***	Failed	Send FAILRAO for SWIFTT to apply sanction.	In X+1 working days
IRS239	4	Resulted	GREEN***	Completed	Send COMPLETERAO to SWIFTT	Immediately when Failure status = Resulted

| IRS#	Failure Grade	Failure Status	TLS Status	RAO indicator	OBMAN Action	Triggered when in OBMAN?
						& RAO indicator = Completed
~~IRS239~~	4	~~Re-complied~~		~~Reset to "Started" from "Failed"~~	~~**Don't send sanction notification to SWIFTT.~~	*"Restart RAO" function removed*
IRS239	3	Overturned (after X+1 days elapsed)	GREEN	N/A	Send "OVERTURN" notification to SWIFTT to Lift sanction	Immediately when Failure status = Overturned
IRS237	3	Overturned (before X+1 days elapsed)	GREEN	N/A	Don't send sanction notification to SWIFTT	
IRS239	4	Deactivated (after X+1 days elapsed)	GREEN	Null	Send DEACTIVATE notification to SWIFTT to Lift sanction.	Immediately when Failure status = Deactivated
IRS239	4	Deactivated (before X+1 days elapsed)	GREEN	Null	Don't send sanction notification to SWIFTT	
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	
IRS239	4	Benefit cancelled	GREEN	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

process is currently normal business as usual. This process of restarting RAO will cease to exist in the future as the business has agreed to have the "Restart RAO" function removed from OBMAN.

*** 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.

9.3 State Change diagram for Sub-Failure Status
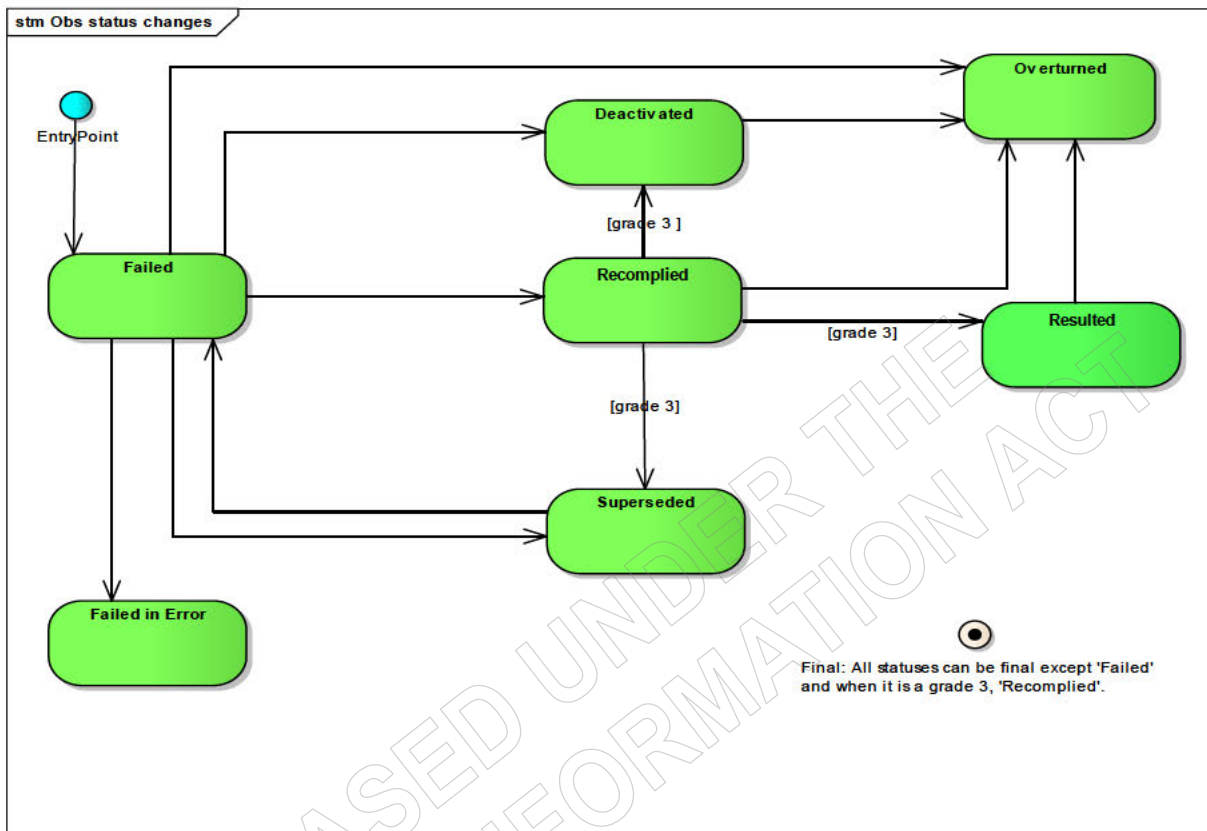
Status	Description	TLS Status	Active?
Failed	Active failure has been triggered but not yet resolved in any way. It may have been unsuccessfully disputed.	ORANGE: If no sanction RED: If sanction applied	Y
Re-complied	Failure re-complied by another separate activity in CMS or SO. Client gets benefit back 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	GREEN	N

	stopped and wiped out . The count continues as for Re-complied. (Subject to Interim solution – manual)		
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 applied	N
Resulted	A re-compliance for a 3rd or 4th 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	This state for an Obligation Failure was implemented by CAPE-139. 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. 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.	GREEN	N

Legend: *** 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.

9.4 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	Re-compliance Activity Outcome 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". RAO indicator 'Completed' may only be updated less than 42 calendar days after the Re-compliance date.
TLS	Traffic Light System The Traffic Light System is a visual indicator to immediately display client's compliance with their work and/or social obligations. • GREEN: No active failed obligations, or has recomplied an obligation failure • ORANGE: Has an active obligation failure, and is within the 5-day working day dispute period • RED: Has an active obligation failure, and as a result, has had a sanction imposed • NOT APPLICABLE: Client is not subject to the Traffic Light System

9.5 As-is view of OBMAN Failure Screen Shot:

Failure Grade	2	Failure Date	9/12/2013	Status Benefit Cancelled

Sanction Applied 19/12/2013
Sanction Lifted 24/12/2013
Deactivation Date 2/4/2015
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

9.6 As-is view of Event History Screen Shot:

Failure Grade   2   Failure Date   9/12/2013   Status Benefit Cancelled
Sanction Applied 19/12/2013
Sanction Lifted 24/12/2013   Deactivation Date 2/4/2015
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
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

9.7 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