



**Bureau of Fraud Investigation**  
**Project 275**  
***Investigation of AFIS Match***  
June 5, 2014

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**PROCEDURE NOTE:**

**This procedure manual (including any modifications) is prepared for informational purposes only. The purpose of this procedure manual is to provide support and guidance to the management and staff of the NYC/HRA Investigations, Revenue, and Enforcement Administration (IREA). Nothing in this manual is intended to create nor does it create any enforceable rights, remedies, entitlements, or obligations. IREA reserves its right to change or suspend any or all parts of this manual at any time.**

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## **I. AUDIENCE**

This procedure is intended for the Directors, Supervisors, Senior Fraud Investigators, Fraud Investigators, and Clerical support staff in the Investigation, Revenue, and Enforcement Administration (IREA) Bureau of Fraud Investigation (BFI) involved in the pursuit of individuals who may be improperly or illegally applying for Cash Assistance (CA) benefits in New York City.

## **II. BACKGROUND**

The Human Resources Administration (HRA) oversees the provision of Cash Assistance (CA) benefits to eligible individuals or families residing within the five boroughs of New York City. BFI examines complaints of fraud taking place in the Cash Assistance (CA) program. This procedure describes the necessary steps required to identify, pursue, and halt the improper or illegal application for Cash Assistance (CA) benefits.

## **III. OVERVIEW**

### ***The BFI Project 275 AFIS Match***

The Automated Finger Imaging System (AFIS) is a database created to assist New York City and New York State in ensuring that duplicate CA benefits are not issued to individuals applying for assistance; furthermore, finger imaging is a requirement for all persons applying for CA benefits program. Participants at the Job Centers are imaged (fingerprint and facial) when they come in to apply; the image is automatically uploaded into the state-wide AFIS database and matched against all other images on file. When a match is found the AFIS operator reports the “hit” to the Job Center, who then notifies the BFI AFIS Help Desk. The application cannot go forward until the match is resolved by the participant.

A BFI supervisor enters the cases into the Investigative Reporting Information System (IRIS) (Figure 1), assigns the case to an investigator (Figure 2), and selects an allegation type from a drop-down menu (Figure 3). IRIS is used to process and track investigative cases, ensuring that the cases identified are not duplicates of “hits” already under investigation.<sup>1</sup> The investigator reviews the data returned by the match against what is on file in the Welfare Management System (WMS), HRA One Viewer, the Paperless Office System (POS), or other New York City participant information databases.

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<sup>1</sup> All “hits” are reviewed by BFI, including duplicated listings which may appear for a variety of reasons for the same individual or household. Duplicated “hits” will be referred to the supervisor for clearance and disposition.

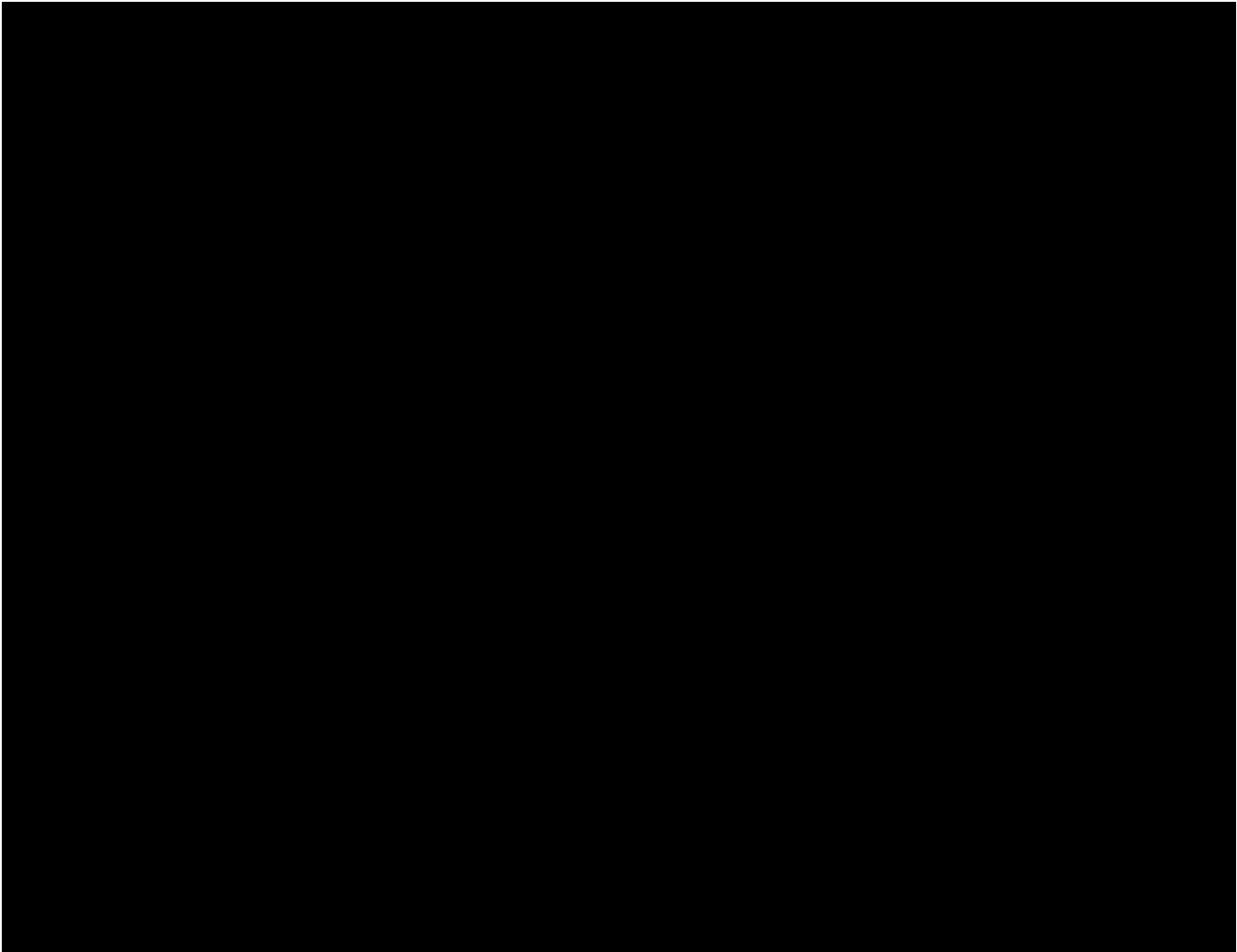
## **IV. INVESTIGATIVE STEPS**

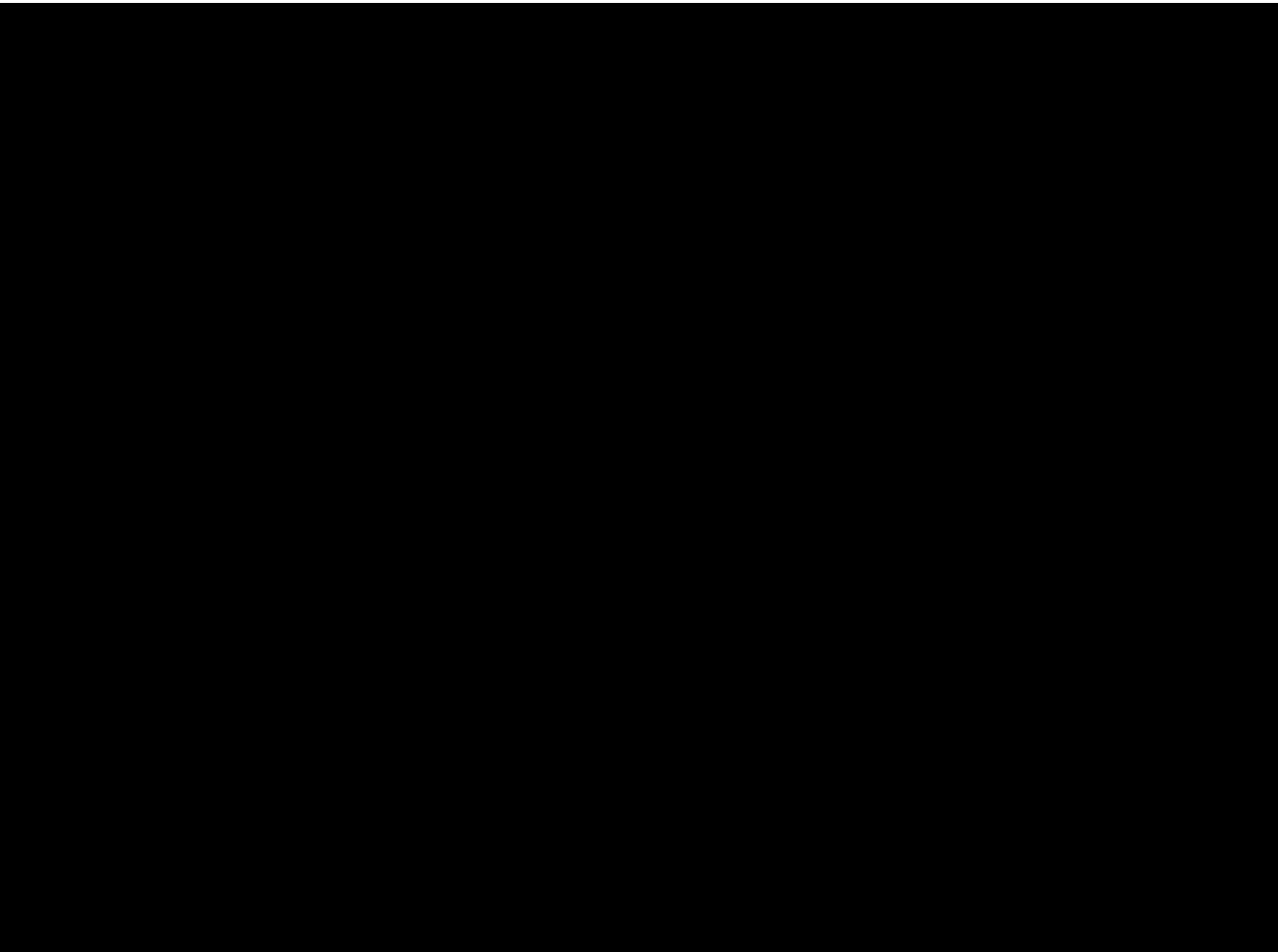
### **A. Initial clearances**

When beginning Project 275 investigations, the investigator should promptly review IRIS for ongoing investigations or previous allegations; simultaneously the investigator will access the prospective participant's application (DSS-3174 NYC) on WMS, the HRA One Viewer, and POS to review the information reported by the participant. The WMS clearances and Resource File Integration (RFI) information for each investigation should be printed out and added to the case file.

The WMS and RFI screens include:

- WMS Case Menu Screen 22, Case Composition–Suffix/Individual Summary (Figure 3).
- WMS Case Menu Screen 22X, Participant Information (Figure 4).
- WMS Case Menu Screen 20, Budget Information (Figure 5).
- WMS Case Menu Screen 04, Case Action History (Figure 6).
- RFI screen 01 showing the most recent Wage Reporting System (WRS), as well as RFI information (Figure 7).





```

NOCS01 (Z) Case Composition - Suffix/Individual Summary 09/30/13
Case # Ctr U/W MRS FS Rent 0.00 RVI TI Pg 1 of 01
066 DCDCD PA Rent 0.00 APP SRC RCRT SRC
Address City Zip Phone No.
NEW YORK ( ) - -
Case Name SF-NET Case Name SF-NET
SUF 01 FS SUF 01 Case FA Lang SP E | SUF FS SUF Case Lang SP
Pg Stat Type Lang Read E | Pg Stat Type Lang Read
PA AP Parent TB Ind | PA MA Parent TB Ind
MA AP Ind / / | MA FS Ind / /
FS AP Ind / /
NEXT REGERT / / FSINTW -----
LAST PA RCT / / LAST MA RCT / / Next check / / Next ATP / / M
Suffix Individual Data Status CA S
Sel PA MA FS LN CIN First Name M Last Sex Birth PA MA FS ES CD P
01 01 01 01 [REDACTED] AP AP AP
/ /
/ /
/ /
/ /
Next case # CMD

```

Figure 3 – Case/Suffix/Individual Summary Screen



```

NQIN2A (Z)          Client Information as of 09/30/13          09/30/13
                                                    Page 01 of 01
CIN      First Name M Last          Sex      SSN      Val SSN Date Birth Date
-----
CHAP SSI BCS OTM EDC  WK-PROG  Vet RR      30-1-3-History Date      St/Fed Date
Begin      End      00/00
Stud ID      Stud ID Code 0 Tasa Ind      ACI      DOS      / /      DEC      / /
Alien#      CDC      SSF      Mar Stat      Ed Stat      High Degree
Afis Ind      EPI      CH      AD-EX      / /      BVI      H N I N A N B N P N W Y
Sel Case No.  LN      ---Dispositions--- ---Last Txn--- CAT S/F      ---Employ---
Hist Ctr Cat FAP Rel  Sf St Rsn      Date  Auth No. Type Code Chrg Code Date
|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
066 FA      MA 01 AP      09/30/13  00000000      / /
FS 01 AP      09/30/13  Rel Moth 00  TL-Ex      / /
PA      / /      / /
MA      / /      / /
FS      / /      Rel Moth 00  TL-Ex      / /
PA      / /      / /
MA      / /      / /
FS      / /      Rel Moth 00  TL-Ex      / /
Select History Date Range : / / to / /      IPV MSP      TPHI DGC
To view a Case, enter Case #:      Suf:      Date: 09/30/13
Next Date: 09/30/13 Cin:      or Case #:      Ln:      CMD
A0083      OTHER NAME(S) DO NOT EXIST

```

Figure 4 – Participant Information Screen

```

NQBU07 (P)          Budget History List          10/28/13
                                                    Page 01 of MM
Case #      Suffix 01
-----
Select  Auth No  -- Auth. Cycle --      PA Allot Amt      FS Allot Amt
|-----|-----|-----|-----|-----|-----|
|      05/A/13  / /      145.50      178.00
|      04/B/13  / /      145.50      178.00
|      03/A/13  / /      145.50      178.00
|      03/A/13  / /      145.50      178.00
|      02/A/13  / /      145.50      0.00
|      02/A/13  / /      145.50      178.00
|      02/A/13  / /      145.50      178.00
|      01/B/13  / /      145.50      178.00
|      01/A/13  / /      109.00      178.00
|      01/A/13  / /      109.00      182.00

Enter -1- in Select column to view Budget History Actual Needs & Suf Summry
Enter -2- in Select Column to view Budget History Results

Next: Case:      Suffix:      CMD
A0203      PA AMOUNTS MAY BE ONE CENT OUT

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Figure 5 – Budget History Screen

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NOCS6A (P)      All Change Actions - 08/01/13 thru 10/28/13      10/28/13
CASE#: ██████████ Page 01 of 01
Center 037 Unit/Worker 00021

---Transaction---      Suffix  --Auth Period----- CS FH      ---Unit---
--Date-- -Type--- Auth No.      From      To      ST ST -Reason- Org Rsp Ent
10/07/13 INIT-ELG ██████████ 01 PA 08/09/13 - / / RJ      N17  037 037 037
RVI      M3E A      Case Type MA 08/09/13 - / / RJ      R99  Unit Worker
          FA      FS 08/09/13 - / / RJ      M66  00021

09/04/13 INIT-ELG ██████████ 01 PA 08/09/13 - / / RJ      W10  037 037 037
RVI      M3E A      Case Type MA 08/09/13 - / / RJ      R99  Unit Worker
          FA      FS 08/09/13 - / / RJ      J05  00081

/ /
RVI      M3E      Case Type PA / / - / /
          MA / / - / / Unit Worker
          FS / / - / /

/ /
RVI      M3E      Case Type PA / / - / /
          MA / / - / / Unit Worker
          FS / / - / /

Next Case: █ From: 08/01/13 To 10/28/13      CMD
A0030 PENDING DATA EXISTS FOR THIS CASE      PENDING

```

Figure 6 – Change Actions Screen

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NQRFO1 (P)      RFI CASE LIST      10/08/13
Page 01 OF 01

Case No: ██████████ Center: 037 Unit/Worker: 00021      H B F
M W U S I A I
Individual Data: IND STAT C R I S R N R
Ln Sf SSN      Val First Name Last      PA MA FS R S B A E K M
-----
█ 01 01 ██████████      RJ RJ RJ N N N V U
02 01 ██████████      RJ RJ RJ N N N N
03 01 ██████████      CL CL CL
04 01 ██████████      RJ RJ RJ N N N V N
05 01 ██████████      CL CL CL
- -
- -
- -
- -
- -

To View Match Detail Enter Appropriate Number
Match Codes: 1=WRS 2=UIB 3=SSA 4=HIRE 5=BANK 6=FIRM

Next Case #      CMD
A0267 UNRESOLVED RFI DATA EXISTS FOR THIS CASE      RFI

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Figure 7 – RFI Case List Screen

## **B. Determination of Disposition**

The investigator must review the WMS information against the most recent participant CA applications and recertifications. The current case information the participant provided to the agency along with the information obtained from current agency records will determine the appropriate investigative disposition. The investigator's review is intended to determine the following:

- The case or individual eligibility status
- The documents provided by the participant as proof of identity
- The address information reported by the participant
- Any statements made by the participant which may have a bearing on the case

## **C. The Interview**

After the initial phase of the investigation has yielded information, the participant will be sent a **BFI-25 Call-In Letter** (Attachment 1) directing the participant to appear for an interview at BFI's 250 Church Street location to address the issues found in the AFIS match. At the interview, the participant will be required to provide documentary proof of identity for themselves, any other adults included in the household budget calculations, and any children listed on the case. They will also be asked to explain verbally (or in a written statement) their presence on a computer match designed to detect multiple applications for CA benefits, as well as any other discrepancies found concerning their current application or most recent recertification.

**(Note: Acceptable documentation cannot be older than 30 days prior to the interview date.)**

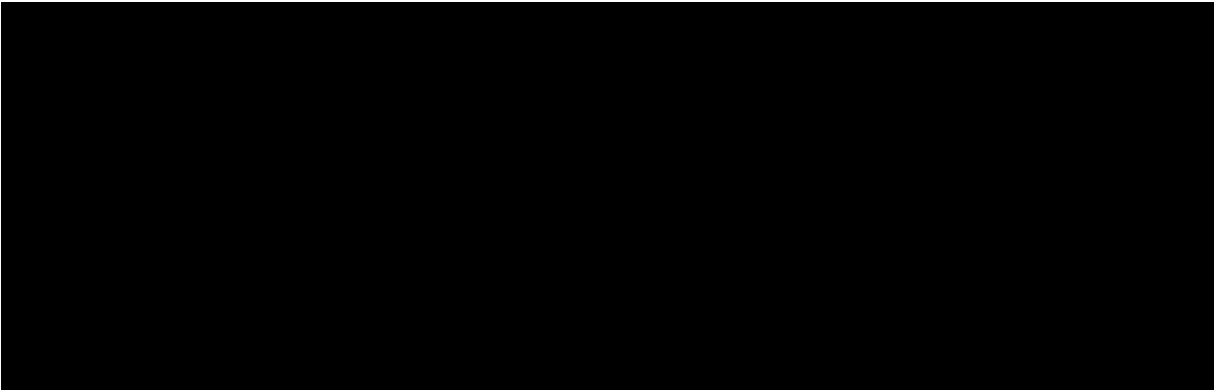
Examples of acceptable documentation include but are not limited to:

- Department of Motor Vehicles (DMV) issued Driver's License or Non-Driver's Identification card
- Passport
- Department of Immigration and Naturalization Services (INS) I-551 (Alien Registration card)
- Other government issued identification containing a photograph
- Clearly postmarked mail addressed to the participant at the WMS address of record
- Clearly postmarked mail addressed to each of the other adults counted in the household budget calculation at the WMS address of record (if any)
- Letters from the school the children attend in New York City on official school letterhead appropriately signed and dated
- Other verifiable documentation from an official source, e.g. government office, showing the participant's name, address, and a current date.



#### **D. Post-Interview Supervisory Review and Case Disposition**

At the conclusion of the interview with the applicant, the investigators conducting the interview will make photocopies of the applicant's original documents and inform them that they will be advised of the case disposition by mail. The supervisor and investigators will then meet to discuss what was uncovered and how to proceed.



## **E. Entering a Final Disposition in IRIS**


Once the investigation is finished, a **Report of Investigation** is generated in IRIS by the assigned investigator. The report will indicate the findings and outcome of the case and is given to the Supervisor for review. If the Supervisor feels the report needs correction or adjustment, they will return it to the investigator for correction in IRIS. Once the investigator completes the correction the report it is printed and returned to the Supervisor for approval. After the Report of Investigation is approved, the investigator finishes the case by placing a copy of the report in the case folder and entering the disposition into IRIS (Figure 8).

The participant's falsifying or failing to disclose information on their application and during their interview in order to obtain public assistance benefits constitutes a crime. When BFI has completed their investigation and has retrieved the signed application, recertification, or mail-in document, the investigator will refer the case for criminal prosecution. Form **BFI-206a DA Referral** (Attachment 3) will be sent to the Prosecutions Unit for processing. Once the case has been referred to the District Attorney's office, the participant must resolve their pending legal issues before they can re-apply for assistance from HRA.



# Attachments

## Attachment 1 BFI – 25 Call-In Letter

 <b>Human Resources Administration</b> Department of Social Services	BFI-25 6/09
INVESTIGATION, REVENUE AND ENFORCEMENT ADMINISTRATION	Date:
BUREAU OF FRAUD INVESTIGATION	Case No.:
<p>Dear _____</p> <p>This Office is conducting an investigation concerning your eligibility for Cash Assistance. An interview has been scheduled for you to discuss this matter on:</p> <p style="margin-left: 40px;">Date: _____ Time: _____ Address: 250 Church Street, 3rd Floor, NY, NY 10013</p> <p>If, for any reason, you cannot appear at the time and place shown above, please call Investigator _____ at telephone # ( ) _____.</p> <p>Please bring your Photo ID card, this letter and the following document(s):</p> <p style="text-align: right;">Yours truly, <b>BUREAU OF FRAUD INVESTIGATION</b></p> <p style="text-align: right;">Per Investigator _____</p> <p style="text-align: center;"><b>IMPORTANT NOTICE:</b></p> <p>You may bring an attorney and/or other representatives with you. If you cannot afford an attorney, you may seek free legal representation at a legal services or legal aid office. You may answer questions or choose not to answer. If you do not answer questions, your benefits cannot be stopped or reduced solely because you do not answer. If you do not appear, the law allows us to stop your benefits.</p> <p>TRAVEL INSTRUCTIONS: IRT No. 1 to Franklin Street, Subway A, E, 2, &amp; 3 to Chambers Street. Office located between Leonard and Franklin Streets.</p>	

## Attachment 2

### BFI – 45 Report of Interview

BFI-45 (E) 07/23/2013



INVESTIGATION REVENUE AND ENFORCEMENT ADMINISTRATION  
BUREAU OF FRAUD INVESTIGATION  
250 CHURCH STREET  
NEW YORK, NY 10013

### REPORT OF INTERVIEW

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Case Name: \_\_\_\_\_ Date Prepared: \_\_\_\_\_  
 Case #: \_\_\_\_\_ Prepared By: \_\_\_\_\_

Interview  
 Location: \_\_\_\_\_ Witnessed By \_\_\_\_\_  
 Witnessed By \_\_\_\_\_  
 Time of Interview \_\_\_\_\_



**Attachment 3  
BFI – 206a DA Referral Letter**

BFI-206a (E) 11/27/2013



INVESTIGATION REVENUE AND ENFORCEMENT ADMINISTRATION  
BUREAU OF FRAUD INVESTIGATION  
250 CHURCH STREET  
NEW YORK, NY 10013

**REFERRAL TO DISTRICT ATTORNEY**

District Attorney's Office: Select...

Date:

Borough DA Liaison : Select...

Listed below are cases of criminal actions which are being referred to your office for prosecution. Should you require further information, please contact me at (212) 274-Select... or at e-mail address: Select...

		CHECK ONE SECTION BELOW			
	NAME: LAST, FIRST	CASE#	ACCEPT	REJECT	CONDITIONAL REJECTION
1.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

RECEIVED BY: \_\_\_\_\_  
(Please Print Name)

\_\_\_\_\_  
(Signature) (Date)