FAMILY INDEPENDENCE ADMINISTRATION

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POLICY DIRECTIVE #04-19-ELI
(This Policy Directive Replaces PD #03-24-ELI)

NECESSITY OF ACCURATE SOCIAL SECURITY NUMBERS IN THE WELFARE MANAGEMENT SYSTEM (WMS)

Date: May 28, 2004	Subtopic(s): Eligibility

AUDIENCE

These instructions are for Job Centers/Non-Public Assistance Food Stamp (NPA FS) Centers and informational for all other staff.

REVISIONS TO PRIOR PROCEDURE

This policy directive has been revised to reflect the following:
- The Notice to Report to Social Security Office (**M-31g**) is now obsolete;
- The required instructions have been revised to indicate that in place of the **M-31g**, Workers must now advise participants to submit a Receipt for Application for a Social Security Number (**SSA-5028**); <u>and</u>
- The codes associated with the failure-to-comply process have been revised.

POLICY

As a condition of eligibility for Public Assistance (PA) and Food Stamp (FS) benefits, the applicant/participant and all members of the PA and/or FS household must have a valid Social Security number (SSN) or show proof of having applied for one. This includes parents, applying caretakers, children and nonapplying household members whose needs and income are considered in determining the amount of assistance granted to the household.

Note: Due to Social Security Administration (SSA) regulations, undocumented aliens are unable to obtain a SSN and therefore they are not required to furnish or obtain a SSN.

HAVE QUESTIONS ABOUT THIS PROCEDURE?
Call 718-557-1313 then press 2 at the prompt followed by 765 or
send an e-mail to *FIA Call Center*

Distribution: X

BACKGROUND   Once a SSN is entered in the Welfare Management System (WMS), it becomes the primary identifier used in the computer matching programs that enable the Human Resources Administration (HRA) to identify and verify the income and resources of PA, NPA FS and Medical Assistance (MA) applicants/participants.

It is essential that a valid Social Security number (SSN) is present in WMS. A missing or inaccurate SSN can compromise the data obtained by the computer matching programs.

See the attached list of SSN Validation Codes.   To assist in ensuring the validity of the SSN, WMS requires a Social Security validation code for every individual. When the Worker enters SSN validation code **1** in element **321** of the TAD indicating the SSN is present, WMS compares the individual's SSN and demographics to the information in the Social Security Administration's (SSA) computer file. WMS then posts a new validation code in element **321** indicating the validity of the SSN or the nature of the discrepancy. In addition to the TAD, the individual's SSN validation code also appears on the individual inquiry screen **NQIN2A**.

A comparison between WMS and SSA does not take place if SSN validation codes **2** (SSN applied for but not yet available), **3** (SSN applied for and denied) or **4** (SSN not applied for) are entered indicating that the SSN is not yet available.

Reports   There are two system-generated SSN reports and one SSN external clearance currently provided by the State. They are as follows:

- Social Security Validation Report (**WINR0203**) – This report is generated bimonthly and identifies individual(s) whose SSN(s) in WMS have failed the SSA validation and require corrective action. The report is sorted by Center and Worker. It includes the Client Identification Number (CIN), SSN, first name, middle initial, last name, date of birth (DOB) and sex of individuals with discrepant information.

- Wired Third Party Inquiry Report (**WTPY/WINR0597**) – This report is generated when any of the following WMS actions are taken:

  - Application registration
  - Application maintenance (change in demographics)
  - Worker case update (change in demographics)
  - Internal clearance request

This report is available by the third business day after one of the above actions is completed, and is generated through the line printer in the Center's Control Unit. The report is sorted by case/registry number and contains only the SSN discrepancies associated with a single case on each page so that cases having several incorrect Social Security numbers can be handled as a unit.

The **WINR0597** report lists invalid Social Security numbers and the discrepancies associated with the numbers. If the individual is in receipt of Retirement, Survivor's or Disability Insurance (RSDI), it also confirms the benefit amount.

If a Social Security number does not appear on either of the above reports, the Social Security number is valid and does not have any SSA benefits attached. The appropriate corrective action to resolve the discrepancies identified by these reports must be taken within 45 days from the date of the report.

Clearance

- Resource File Integration (RFI) – This clearance also provides an electronic WTPY inquiry clearance viewable in WMS. The RFI is generated in the same instances listed above for the **WINR0597**. An alert message will appear reading "Case has unresolved RFI data" in the upper right-hand section of the TAD and on the bottom of the WMS Inquiry Screens to indicate the presence of RFI information. RFI information must be resolved prior to case acceptance.

- Besides other RFI information such as Wage Reporting System (WRS), Unemployment Insurance Benefits (UIB), New Hire and Bank matches, this clearance will indicate the validity of an SSN. It also indicates the amount of SSA benefits received and the SSN under which the benefits are received (such as dependent benefits of a child received under the parent's SSN), if applicable.

REQUIRED ACTION

When the **WINR0203**, **WINR0597** or RFI is received and the individual's information does not match that of the SSA file, the Worker must check the information in WMS for each individual with an SSN discrepancy against the information provided in the case file.

Refer to **WINR0203, WINR0597**, or RFI.

- If the discrepancy is a result of agency error, take the appropriate action to correct the discrepancy (for example, incorrect DOB, last name, or SSN).

- If the discrepancy is a result of the SSN in WMS being one digit off, or digits in an SSN being transposed, the discrepancy message "One Digit Error – Correct SSN…" will appear. In this message, the correct SSN will be displayed and a change in WMS to correct the number is required.

W-205K desk guide is to be used with **WINR0203**, **WINR0597** and RFI to assist in resolving discrepancies.

- If the discrepancy is not a result of an agency error, refer to the Social Security Validation Failure Review Guide (**W-205K**) for follow-up actions. For names that do not match the SSA file, compare the name on the Social Security card with the name listed on the original document submitted to verify name, such as birth/marriage certificate.

  If the individual is legally known by another name, the individual may choose the documented name by which s/he wants to be known. However, the individual must use the same name for services (PA, FS and/or MA) and SSA. For example, a married woman may choose to be known by her married name or maiden name, but not both. If the name chosen is not the name on the Social Security card, SSA's file must be updated. The individual must be referred to a local SSA office to apply for a corrected card.

Updating SSA's File

- If the case file documentation confirms that the information on the WMS database is correct, instruct the participant to:

New information

The Notice to Report to Social Security Office (**M-31g**) is now obsolete.

  - report to the Social Security Office with the appropriate documentation, and have SSA correct the information in their file. Workers must advise the participant to request a Receipt for Application for a Social Security Number (**SSA-5028**) from SSA.

  - report back to the Job Center with a Receipt for Application for a Social Security Number (**SSA-5028**). Upon receipt of the **SSA-5028**, the Worker must change the SSN indicator to **2** (SSN applied for).

Closed Cases

If a case on either the **WINR0203** or **WINR0597** is closed at the time of the review, complete the review process and scan and image a copy of the ALERT SSN Discrepancy on Closed/Rejected Case/Individual form (**M-31b**) in the closed case file. If the individual reapplies for assistance, the discrepancy must be resolved. In addition, if a fraudulent situation is identified, also refer the case to BFI.

Referral to BFI The Referral to Bureau of Fraud Investigations is now an automated process; refer to PD #04-13-OPE for more information.	While many of the discrepancies will be due to errors in recording or data-entering Social Security information, look out for situations involving fraud. If the photocopy of the Social Security card in the case has the same name as the participant and WMS, but the SSN is listed as invalid on the Social Security Validation Report (**WINR0203/WINR0597**), make a referral to BFI using the Referral to Bureau of Fraud Investigations (**BFI-14**). When the referral to BFI is made, <u>do not</u> tell the participant about the referral for investigation.
Failure to Comply (FTC)	An applicant/participant's failure to cooperate (FTC) in furnishing, applying for or validating a SSN will result in denial of assistance to the noncooperating individual. The needs of that individual will not be considered in determining eligibility or <u>degree</u> of need for the remaining eligible members. When a parent fails to provide a SSN for a child, both the parent and child are denied assistance. In this instance use the following codes:
Revised list of PA codes for failure to provide or apply for SSN.	<u>Case Closing Code (Element **222**)</u> **F20** Failure to provide SSN (HH=1) <u>Individual Sanction Codes (Element **331**)</u> **F20** Failure to provide SSN **E21** Failure to provide child's SSN (parent's line)
PA codes for failure to validate SSN	<u>Case Closing Code (Element **222**)</u> **F17** Failure to validate SSN (HH=1) <u>Individual Sanction Code (Element **331**)</u> **F17** Failure to validate incorrect SSN If a nonapplying household member whose needs and income are considered in determining the amount of assistance granted to the household fails to furnish or apply for a SSN, the entire household is ineligible for assistance. In this instance use the following code: <u>Case Rejection Code (Element **222**)</u> **625** NPA Member who Failed to Furnish or Apply for a Social Security Number
Monitoring and tracking required actions	The Administrative Job Opportunity Specialist II (AJOS II)/Office Manager is responsible for tracking and monitoring the disposition of all cases that appear on the reports using the Social Security Validation Report as of _____ (Form **M-31f**).

PROGRAM IMPLICATIONS

Paperless Office System (POS) Implications

- POS will retrieve the Social Security validation code from WMS and display a message to the Worker indicating the validation code and what the Worker is expected to do as a result of that code.

- The Worker must indicate all changes made in the **Individual Detail** window or that the individual has been referred to the Social Security Office to update his/her information by using the **Validation** drop-down box and entering a comment.

- Scan all documents relevant to verifying and/or obtaining a Social Security number in the electronic case record.

- If the case is closed at the time of the review and then the case is subsequently reopened, POS will retrieve the Social Security validation code from WMS at that time and display a message when the Worker is in the **Individual Detail** window indicating the validation code and what the Worker is expected to do as a result of that code.

To enter a case comment, press "ALT" and "M" simultaneously on the keyboard.

- Enter a case comment for all actions performed on a case by clicking on the case comments icon 🔳 or pressing <ALT M> on the keyboard.

- Scan all non-POS-generated forms and notices that are signed by the individual into the electronic case record, except Domestic Violence-related documents.

Food Stamp Implications

All individuals applying for or participating in the FS program must have a Social Security number. Members without an SSN must apply for one before certification.

No adverse action can be taken between FS certifications.

If the Agency determines that a household member has refused, without good cause, to provide or apply for an SSN at **application or recertification**, the individual without a SSN is ineligible for FS. All other household members remain eligible. In this instance use the following codes:

Revised list of FS codes for failure to provide SSN

Case Rejection Code (Element **231**)
264 Refusal to Apply for SSN

FS participants cannot be called in *between* certifications to verify SSN.

Individual Rejection Code (Element **351**)
F21 Failure to Provide Social Security Number during Recertification Interview

Case Closing Code (Element **231**)
F21 Failure to Provide SSN at Recertification (Adequate) (HH=1)

Individual Sanction Code (Element **351**)
F20 Failure to Provide SSN during Certification Period (Timely)

Individual Removal Code (Element **351**)
F21 Failure to Provide or Apply for SSN during Recertification Interview

See FSSB Sec. 5, p. 45 regarding religious belief.

FS household members who refuse to provide or apply for a SSN because of a valid religious belief are not to be disqualified from participating in the Food Stamp program.

Documentation must clearly be recorded in the case file if a household member indicates refusal to provide or apply for an SSN because of a valid religious belief. This documentation may include obtaining written or verbal confirmation from the individual's religious organization that the provision of an SSN by its member is in conflict with its religious doctrine.

PA regulations do not allow a waiver from the requirement to provide or apply for an SSN based on religious beliefs. Such individuals, if otherwise FS eligible, would be denied public assistance and provided FS as a mixed household member. PA is to be denied using code **F20** and Social Security Validation Code **4** "SSN Not Applied For" is to be entered on the TAD in element **321** for these individuals.

See FSSB Sec. 5, p. 49

If a FS household member refuses to cooperate in resolving a SSN validation discrepancy, determine if another household member is able and willing to resolve the discrepancy. If no one in the household is able to resolve the discrepancy, the entire FS case must be denied and a timely notice of the action taken must be issued:

FS codes for failure to verify SSN

Case Closing Codes (Element **231**)
F17 Failure to validate incorrect SSN (Timely) (HH=1)
N18 Failure to validate incorrect SSN (Timely) (HH>1)
F22 Failure to verify SSN at recertification (Adequate) (HH=1)

FS participants cannot be called in *between* certifications to verify SSN.

Individual Rejection Code (Element **351**)
F22 Client Refuses to Verify Social Security Number

Individual Removal Code (Element **351**)
F22 Failure to Verify SSN

Medicaid Implications

Any applicant/participant who does not have a valid SSN, or intentionally provides the Agency with a fraudulent SSN, will have his/her individual medical assistance discontinued.

Fair Hearing Implications	Applicants whose request for assistance is denied and participants whose benefits are reduced or discontinued are entitled to request a Fair Hearing. Remember to give individuals an opportunity for a conference/resolution on the issue(s).
Conferences at Job Centers	If an applicant/participant comes to the Center and requests a conference, the Receptionist must alert the Fair Hearing and Conference (FH&C) unit that the individual is to be seen by a FH&C Supervisor I/Associate Job Opportunity Specialist I (AJOS I). If the individual calls the Job Opportunity Specialist (JOS)/Worker directly, the JOS/Worker must tell him/her to go to the Receptionist to be referred to FH&C.
	The FH&C Supervisor I/AJOS I will listen to and evaluate the applicant's/participant's complaint regarding the denial, reduction or discontinuance. After reviewing the case file and discussing the issue with the Unit Supervisor, the FH&C Supervisor I/AJOS I will uphold the Agency's decision or reverse the decision and request that the case be restored. In instances where the participant does not accept the decision, the FH&C Supervisor I/AJOS I is responsible for ensuring that further appeal by the participant through Fair Hearing request is properly controlled and that appropriate follow-up action is taken in all phases of the Fair Hearing process.
Conferences at NPA Food Stamp Centers	If an applicant/participant comes to the NPA Food Stamp Center and requests a conference, the Receptionist must inform the Center Director's designee that the individual has to be seen. If the individual calls the Worker, s/he must be advised to go to the Receptionist for a referral to the Center Director's designee.
	The Center Director's designee will listen to, evaluate and review the individual's complaint regarding the denial, reduction or discontinuance. After reviewing the case and discussing the issue(s) with the Eligibility Worker/Unit Supervisor, the Center Director's designee will make a decision.
	Remember that the Center Director's designee is responsible for ensuring that further appeal by the individual through a Fair Hearing request is properly controlled and that appropriate follow-up action is taken in all phases of the Fair Hearing process.
Evidence Packets	Evidence packets should include a copy of the **WINR0203/WINR0597**, **M-31d**, History Sheet (**W-25**) and any other relevant documentation regarding the issue.

LIMITED ENGLISH SPEAKING ABILITIES (LESA) IMPLICATIONS

For Limited English Speaking Ability (LESA) applicants/participants, make sure to obtain appropriate interpreter services in accordance with Policy Directive #02-43-OPE.

REFERENCES

02 INF 29
18 NYCRR   351.1(2)(I)(ii)
18 NYCRR   360-2.3(a), 369.2, 370.2, 387.16(c)
Food Stamp Source Book (FSSB), Sec. 5 pp. 45 – 49

ATTACHMENTS
⌨ Forms can now be accessed through Print on Demand at all Job Centers.

Attachment A	List of SSN Validation Codes
Attachment B	RFI Status/Resolution Codes
WINR0203	Social Security Validation Report
WINR0597	WTPY Social Security Number Exception Report
BFI-14	Referral to Bureau of Fraud Investigation
M-31b	ALERT SSN Discrepancy on Closed/Rejected Case/Individual (Rev. 2/14/01)
M-31d	Social Security Validation Report Worksheet (Rev. 4/21/03)
M-31f	Social Security Validation Report (Rev. 4/21/03)
W-205K	Social Security Validation Failure Review Guide (Rev. 5/28/04)

Obsolete Form

M-31g	Notice to Report to Social Security Office

Attachment A

SSN VALIDATION CODES

TAD ELEMENT **321**/ INDIVIDUAL INQUIRY SCREEN (**NQIN2A**)

1 - SSN present but not yet validated	NO ACTION NECESSARY
2 - SSN applied for but not yet available	If SSN has been received, annotate TAD. Remember to change code **2** to **1**. If SSN has not been received and the SSN application is more than three (3) months old, refer applicant to SSA to reapply for an SSN. Verification of compliance is required. For FS purposes, a household has until their next recertification to reapply for a SSN not yet available.
3 - SSN applied for and denied	Obtain the SSA letter from the participant that indicates the reason for denial. If the reason can be resolved, have the participant resolve the issue and reapply for an SSN. If the reason cannot be resolved, re-evaluate the individual's eligibility for PA, MA and/or FS.
4 - SSN not applied for	Refer the applicant/participant to SSA to apply for a SSN. Once verification of application is submitted, submit TAD to change the validation code from **4** to **2**.
*5 - SSN indicator not on ODP database (Conversion Code)	NO ACTION NECESSARY
*7 - SSN assigned by SSA	NO ACTION NECESSARY
*8 - SSN validated by SSA	NO ACTION NECESSARY
*9 - SSN failed SSN validation ***A** - SSN not in SSA file	If the SSN on the photocopy of the Social Security card in the case record is the same as the SSN listed as invalid on the Social Security Validation Report (**WINR0203**), make a referral to BFI using BFI referral form **BFI-14** (Attachment B). When a referral to BFI is made, do not tell the applicant/participant about the referral.
*B - No match on name in SSA file	Refer applicant/participant to the SSA to apply for a corrected SSN. In instances where a female participant is receiving assistance under her married name but her SSN is under her maiden name, she must be given the choice of changing the case name to match the name on the SSN or requesting a name change on her Social Security card.
*C - No match on DOB or SEX ***D** - No match on DOB ***E** - No match on SEX	If the information in WMS is correct, refer the applicant/participant to the SSA to have the information in his/her record corrected.

* Output codes only.

Attachment B

RFI STATUS/RESOLUTION CODES

RFI STATUS CODES* - Applicable to SSN Validation.

U - Unresolved RFI Data	Prevents activation of AC status (permits "SI" but not "AC"). When a case is in "SI" status and there is a code of "U," the Worker must still try to resolve the RFI hit regardless of whether s/he is going to close the case.
V - SSN verified by SSA	SSN is valid.
R - RFI hit is resolved	Once the issue is resolved and a resolution code is entered, the status will change to "R."
W - Unresolved RFI hit	(Problem with SSN) Occurs when an individual is in AP status and prevents activation to AC or SI status. • SSN not on SSA file. • SSN belongs to deceased person. • SSN one digit off. SSA will send correct number. Do Application Maintenance to correct the SSN and wait for a new clearance.

RFI RESOLUTION CODES* - Applicable to SSN Validation. These codes can be data-entered on the bottom of the RFI Screens.

P01 - Client's SSA record needs to be corrected	Use for WTPY when applicant/participant is sent to the SSA office. (Can Accept/Recertify Case)
P03 - Application/Individual rejected	Failed to respond to request to verify RFI data. (Cannot Accept Case)
P04 - Application/Individual rejected	Ineligible due to (nonrelated) RFI data. (Cannot Accept Case). Use this code if the applicant/participant reported earned/unearned income prior to the return of the clearance, or if you are rejecting the case for a non-RFI reason.
P05 - RFI does not affect eligibility	Currently correct. To be used if the case is acceptable and the Worker's review of the Social Security, UIB and WRS data finds no effect on the household's eligibility or benefit level. (Can Accept Case)
P07 - Case is eligible	Made active at a reduced grant due to RFI. This code is used when the income (WRS, UIB, and Social Security) was revealed first by RFI and the income has been confirmed and budgeted. (Can Accept Case)
P08 - Referred to BFI	Based on a response from BFI and other available information, the Worker must either accept or reject the case and enter the appropriate resolution code on the screen.
P90 - Override RFI information	The designated Supervisor with an authorized TTSS password will use this code to accept cases in emergency situations. (Can be used on WTPY screen only)

*For the full list of RFI Status/Resolutions codes, refer to the Worker's Guide to Codes.

NEW YORK STATE DEPT. OF FAMILY ASSISTANCE
WELFARE MANAGEMENT SYSTEM
SOCIAL SECURITY VALIDATION
WMS REPORT WINRO203

PA CENTER: 0 6

CASE	CTR	WRKR	REC TYPE	CIN	SSN	LAST NAME	FIRST	MI	SEX	DOB	VAL CDE	MESSAGES
00264	0	6	00053	SSA XP	S				A	E		D	NAME MATCHES. ---NO MATCH DOB
00364	0	6	00053	SSA XP	S				A	E		D	NAME MATCHES. ---NO MATCH DOB
00369	0	6	00062	SSA VP	V				A	E		E	GIVEN NAME & DOB MATCH, NO MATCH LAST NAME
00369	0	6	00062	SSA VP	V				A	E		E	GIVEN NAME & DOB MATCH, NO MATCH LAST NAME
00918	0	6	00555	SSA SN	X					E		B	NO MATCH NAME, BIRTH DATE NOT CHECKED
00918	0	6	00555	SSA SN	X					E		B	NO MATCH NAME, BIRTH DATE NOT CHECKED
00918	0	6	00555	SSA SN	X					E		B	NO MATCH NAME, BIRTH DATE NOT CHECKED
00255	0	6	00555	SSA ST	C				D	F		B	NO MATCH NAME, BIRTH DATE NOT CHECKED
00255	0	6	00555	SSA ST	C				D	F		A	SOCIAL SECURITY NUMBER IS NOT ON SSA FILE
00435	0	6	00901	SSA YG	Y					E		A	SOCIAL SECURITY NUMBER IS NOT ON SSA FILE
00569	0	6	00903	SSA UC	Y					E			CLIENT KNOWN BY OTHER SSN
00569	0	6	00903	SSA UC	Y					E		A	SOCIAL SECURITY NUMBER IS NOT ON SSA FILE
												A	SOCIAL SECURITY NUMBER IS NOT ON SSA FILE

TOTAL FOR CENTER: 000013

REPORT DATE 03/15/03
PROGRAM: EI1093

NEW YORK CITY HUMAN RESOURCES ADMINISTRATION
WELFARE MANAGEMENT SYSTEM

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**************************************
*   THIS REPORT CONTAINS             *
*   CONFIDENTIAL INFORMATION         *
*   FOR INTERNAL USE ONLY            *
**************************************
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CENTER: 0.J
PAGE BREAK CASE NUMBER

WTPY SOCIAL SECURITY/NUMBER EXCEPTION REPORT

WMS REPORT WINRO597

CASE NUM/ CASE NAME	NFMK	CIN	SSN	LAST NAME	FIRST	MI	SEX	DOB	
	WX	W	824	███	███		M	███	MESSAGE FROM SSA FOR INVALID SSN
									VALIDATED WITH SSN BENEFITS REPORTED.
					BENEFITS				= $ 38.00 INQUIRY DATE: 03/13/03
	ZR	X	760	███			M		ONE DIGIT ERROR CORRECT SSN = 767
									INQUIRY DATE 03/13/03

REPORT CONTINUED

REFERRAL to BUREAU OF FRAUD INVESTIGATION
Fraud Hotline (212) 274-5030   Fax # (212) 274-5600

..ELFARE FRAUD IS DEFINED AS THE INTENTIONAL MISREPRESENTATION, CONCEALMENT OR NONDISCLOSURE OF MATERIAL FACTS AFFECTING ELIGIBILITY TO RECEIVE SOCIAL SERVICE BENEFITS.

TO: *OFFICE OF REVENUE AND INVESTIGATION, BUREAU OF FRAUD INVESTIGATION INTAKE UNIT, 250 CHURCH STREET, NEW YORK, NY 10013, 3RD FLOOR*

FROM: _CENTER NAME:_ _____ **#** _____ **DATE** _____

WORKER NAME _____ *TITLE* _____ *PHONE* _____ *CASELOAD* _____

PLEASE PROVIDE SPECIFICS ABOUT THE UNCOVERED/SUSPECTED FRAUD IN THE APPROPRIATE SECTION(S) BELOW AND ATTACH COPIES OF ALL RELEVANT DOCUMENTS.
PLEASE PRINT ALL INFORMATION.

Participant's Name (Last) _____ (First) _____

Category and Case Number/Suffix _____ SSN _____

❏ **UNREPORTED EMPLOYMENT.**   ❏ **On Books** ❏ **Off Books** ❏ **Self-Employed**

Employer Name and Address _____

UNREPORTED PERSON IN HOUSEHOLD

Last Name _____ First Name _____ Relationship to Participant _____

❏ **UNREPORTED RESOURCES.** Give Name/Address of Financial Institution, amount, account # if known:

_____

❏ **NOT LIVING AT ADDRESS OF RECORD.** Give actual home address if known:

_____

❏ **QUESTIONABLE DOCUMENT(S).** Give type of document and reason it is questionable:

_____

❏ **OTHER** (Including Fraud perpetrated against Participant):

_____

DETAILS. Describe how Fraud was uncovered. Indicate any actions taken.

USE REVERSE SIDE IF NECESSARY

CASE NUMBER _____

ALERT

SOCIAL SECURITY NUMBER DISCREPANCY
ON CLOSED/REJECTED CASE/INDIVIDUAL

The Social Security Administration has advised us that the Social Security

Number _____ **, for**

_____ **,**

(name)

which was on the system at the time of closing/rejection, <u>failed validation</u>.

Therefore, prior to reopening the case, the worker must resolve the

discrepancy by securing proof of the individual's Social Security Number

(and/or identity) and must ensure that documented information (SSN, name,

date of birth, and gender) is reflected on the WMS file.

Note: Social Security card must be seen to verify SSN.

Social Security Validation Report Worksheet
See reverse for instructions on how to prepare this form

(1-4) _____ _____ _____ _____
Ctr #   Case #/Suffix   Caseload   Case Name

(5) ☐ WINRO203 Run Date: _____ ☐ WINRO597 Run Date: _____ **(6)** Action Code: _____

(7) Circle Error Message:

   I.   Social Security Number Not on SSA File
   II. No Match Name, DOB and Sex Code Not Checked
   III. Name Matches, DOB Matches, No Match Sex
   IV. Name Matches, Sex Matches, No Match DOB
   V. Name Matches, DOB and Sex Do Not Match

(8) Was the Case Record reviewed?   Yes ☐   No ☐   If No, circle reason:

   (A) Case Record not available.

   (A) Case at Job Center # _____

   (A) Case ACTIVE at NPA/FS # _____ or MA # _____

(9) Enter the elements from the WINRO203/WINRO597 related to the message circled above onto Line A.
Enter the corresponding elements as documented in the case record on Line B.

	SSN	Last Name	First Name	MI	Sex	DOB
(A) WINRO203/ WINRO597						
(B) Case Record						

(10) Whose information (based on documentation in case record) is correct?

         PA ☐   SSA ☐   Insufficient Documentation in Case Record ☐

(11) Circle the reason for the error message:

   (A) SSN entered incorrectly   (B) Fraudulent SSN provided
   (C) Incorrect last name   (D) Name misspelled
   (E) Name reversed - first name entered as last name (F) Name on wrong line
   (G) Child listed as male, female, or unborn   (H) Middle initial omitted or incorrect
   (I) Individual married but name not changed   (J) Incorrect information shown on application
   (K) Incorrect information entered on system - DOB/Sex (L) Incorrect information on SSA's data file
   (M) Incorrect birthdate   (N) Birthdate shown is for another individual
   (O) Other (Explain): _____

(12) List documentation seen to support findings: _____

          Note: Documentation verifying identity must clearly state the individual's name (e.g. birth certificate).
                   The only acceptable document to verify SSN is a Social Security Card.
   Action Taken:

(13) Was corrective action taken?   Yes ☐   No ☐   If No, circle appropriate action code:

   (13A) Case Active at Job Center # _____ - Forward to Job Center.
   (13B) MA Individual - Forward to MAP
   (13C) NPA/FS Individual - Forward to FS Program
   (13D) Case/Individual Closed - Complete and insert ALERT letter in case record
   (13E) Demographics/SSN already corrected

(14) Participant referred: Update SSA file (our documented information is more recent).
Circle appropriate action code(s):
   (14A) Last name change   (14B) First name change   (14C) M.I. change/add   (14D) Sex change   (14E) DOB change

(15) DSS-3517 (TAD) prepared, or appropriate annotations entered in POS: Circle appropriate action code(s):

   (15A) SSN change/add   (15B) Last Name change/add   (15C) First name change   (15D) M.I. change/add
   (15E) DOB change   (15F) Other _____

(16) Action taken to Close Case/Remove Individual

(17) Potential Fraud?   Yes ☐   No ☐   If yes, refer case record and this worksheet to BFI

(18) Is the individual over 18 years of age?   Yes ☐   No ☐   If yes, follow-up action is required to request WRS/UIB
                                         Clearance once the new SSN is data-entered successfully.

(19) Comments/Follow-up (if applicable): _____

(20) Reviewer's Name: _____ Telephone: _____ Date: _____

(21) Supervisor's Name: _____ Telephone: _____ Date: _____

Instructions for Preparing Social Security Validation Report Worksheet

Items #1, 2, 3 & 4 - Enter Center #, Case Number, Caseload, and Case Name.

Item #5 - Enter WINRO203/WINRO597 Report Run Date.

Item #6 - Enter Action code (from Item 13, 14 or 15).

Item #7 - Circle Error Message as it appears on WINRO203/WINRO597.

Item #8 - If the case record was reviewed, check Yes.

- If the case record was not reviewed, check No, and circle the reason.

Item #9 - On line A, enter the elements from the WINRO203/WINRO597 Report related to the message. On line B, enter the corresponding information based on documentation in case record.

Item #10 - Based upon your review of the documentation in the case record, indicate whose demographic information is correct:

- Check PA or SSA

- If the case record does not have the appropriate documents, check "Insufficient Documentation" and go to item 19. If the case is active, call the participant in. If the case is closed, go to item 13, circle item 13D, prepare and insert ALERT letter in case record, and complete item 19.

Item #11 - Based on your review of the documentation in the case record, circle the reason for the error message indicated on the WINRO203/WINRO597 report (refer to the Social Security Validation Failure Guide).

Item #12 - Specify documentation reviewed to determine basis of error.

Item #13 - If corrective action was taken, circle Yes, and complete item 14 and/or 15.

- If corrective action cannot be taken, circle No and reason.

Item #14 - If participant is referred to SSA to update their records, circle reason for referral.

Item #15 - If TAD is prepared to correct information on our database, circle the reason(s) for TAD preparation.

Item #16 - Take the necessary actions to <u>close case or remove individual</u>, if the individual fails to report or call in.

Item #17 - Potential Fraud - Check Yes if case record reveals photocopy of invalid Social Security Card. Forward Case Record and Worksheet to BFI.

Item #18 - If the individual is over 18 years of age and his/her SSN was changed or added successfully, check Yes. Follow-up action is required to request/review WRS/UIB Clearance.

- If the individual is under 18 years of age, check No.

Item #19 - Enter any other relevant information.

Item #20 - Enter Reviewer's name, telephone number and the date in the space provided.

Item #21 - Enter Supervisor's name, telephone number and the date in the space provided.

Remember to enter the appropriate ACTION CODE in item 6

Social Security Validation Report as of _____

Center: _____

Run Date: _____

Group	Number of Household Members with Message Other Than SSN not on SSA File	DISPOSITION/ACTION TAKEN CODES										No. of New WRS/UB Clearances Requested for Indiv. over 18 Where SSN Changed on Database
		Case ATOD	MA Only Case	NPA Case	Case/Indiv. Closed	Demo/SSN Already Corrected	Referred to SSA	DSS-3517 Prepared to Change Database	Case Closed/ Indiv. Rem.	Number of Potential Fraud Referred to BFI	Total Reviewed	Total Outstanding	
Total Number Received for Review		Item 13A	Item 13B	Item 13C	Item 13D	Item 13E	Item 14	Item 15	Item 16	Item 17			
TOTAL													

Disposition/Action Taken Codes

Item 13A - Case active at another Center - forward to Center.
Item 13B - MA Individual - forward to MAP.
Item 13C - NPA/FS individual - forward to FS program.
Item 13D - Case/individual closed - complete and insert alert letter in case record.
Item 13E - Demographics/SSN already corrected.
Item 14 - Referred to SSA to update file.
Item 15 - DSS-3517 (TAD) prepared to update our system.
Item 16 - DSS-3517 (TAD) prepared to close case remove individual.
Item 17 - Potential fraud. Refer case record and worksheet to BFI.

T h e **CITY** o f **NEW YORK**
H u m a n R e s o u r c e s A d m i n i s t r a t i o n
F a m i l y I n d e p e n d e n c e A d m i n i s t r a t i o n

Social Security Validation Failure Review Guide
(To Be Used With The WINR0203 and WINRO597)

Message	Possible Reasons for Message	Action to be Taken

I. • **Social Security Number (SSN) is not on SSA file**
 	
• **SSA benefits terminated/deceased mm/dd/yy**
 	
• **Validated with date of death (DOD), reported from SSA**
 	
• **Participant known by other SSN**
	• SSN entered incorrectly
	
	• Fraudulent SSN given by participant
		(a) Review the case record and compare the SSN listed on the copy of the Social Security Card filed in the case record or scanned in the system against the number entered in WMS.
		
		(b) If the SSN entered in WMS is incorrect and the individual is:
		  • Applicant - Have SSN corrected via the application maintenance option.
		  • Participant - On the TAD, cross out the Social Security number in Element **322**, enter the correct number and circle in red. Forward TAD to control for processing.
		
		(c) If the SSN documented in the case record is the same as the one entered in WMS and listed as invalid. If the case is active, prepare a refund to BFI, **(BFI-14)**, indicate on the referral that the SSN on DATABASE (WMS) reflects the information in the case record. Forward the referral of case record to BFI.
		
		(d) If there is no copy of the **Social Security Card** in the case record, follow-up action is required. Send letter to participant to report to the Center within 10 days with a copy of his/her **Social Security Card**. If a PA participant **FAILS TO REPORT** (NPA FS, see procedure) **Single Individual** - Close case due to Failure to Report.
		Individual Living with Others - Remove individual due to Failure to Report

II. • **No match name, DOB and Sex code not checked** • **Name does not match, DOB not checked** • **DOB, first name match, last name different** • **Last name different with benefits**	• SSN entered incorrectly • SSN is for another individual on the case • Fraudulent card utilized by participant • Incorrect last name utilized, e.g., mother's name instead of father's, payee's name instead of child's • Name misspelled • Name reversed - first name entered as last name • Name on wrong line • Child listed as male, female, or unborn • Middle initial omitted or incorrect • Participant married but name not changed	**Follow the instructions listed in Section I "Action to be Taken"** (a) Review birth/marriage certificate (where applicable) and Social Security Card and compare with name, DOB and sex listed on database. If other documents were used, specify on worksheet. (b) When the SSA and PA/NPA FS file names do not match and participant acknowledges use of both names, inform him/her that the same name must be used in both programs. The participant has the right to choose which name s/he wants to be known by as long as it is supported by a primary source of identification such as a birth certificate, marriage license, etc. When the participant decides which name to use, bring the files into agreement by submitting a TAD to correct information on database, or refer the participant to SSA, whichever is required. (c) If the individual/case is closed/rejected, complete and scan/file **ALERT** letter (Form **M-31b**) in case record. (d) If documentation in case record indicated information on our database is correct, refer the participant to the SSA to request a correction or update of the information in their files and if the correction involves a change of name, s/he must also request a new Social Security Card. Verification of this action must be submitted to the Center. (e) Where there is no birth/marriage certificate in the case record and the case is active, ask participant to submit his/her birth certificate. Follow-up action is required.

Message	Possible Reasons for Message	Action to be Taken
III. Name Matches, DOB Matches, No Match Sex	• Incorrect information shown on application • Incorrect information entered on system • Incorrect information on Social Security Administration's data file	(a) A birth certificate/marriage certificate (where applicable) must be seen in order to resolve name, DOB and sex discrepancy. (b) Documentation identifying the participant must clearly document his/her name, date of birth, sex and parent's name. (c) Review documents indicating person's sex. (d) If the incorrect sex was entered in WMS and individual is active, correct sex on TAD. If individual/case is closed, complete and scan/file **ALERT** letter (Form **M-31b**) in case record. (e) If documentation in case record indicated information on our database is correct, refer the participant to the SSA to request a correction or update of the information in their files and if the correction involves a change of name, s/he must also request a new Social Security Card. Verification of this action must be submitted to the Center. (f) Where there is no birth/marriage certificate in the case record and the case is active, ask participant to submit his/her birth certificate. Follow-up action is required.
IV. Name Matches, Sex Matches, No Match DOB	• Incorrect birthdate entered on system • Birthdate shown is for another individual	(a) A birth certificate/marriage certificate (where applicable) must be seen in order to resolve name, DOB and sex discrepancy. (b) Documentation identifying the participant must clearly document his/her name, date of birth, sex and parent's name. (c) Review documents showing date of birth. (d) If the incorrect DOB was entered in WMS and the individual is active, correct DOB on TAD. If the individual/case is closed, complete and scan/file **ALERT** letter (Form **M-31b**) in case record. (e) If documentation in case record indicated information on our database is correct, refer the participant to the SSA to request a correction or update of the information in their files and if the correction involves a change of name, s/he must also request a new Social Security Card. Verification of this action must be submitted to the Center. (f) Where there is no birth/marriage certificate in the case record and the case is active, ask participant to submit his/her birth certificate. Follow-up action is required.
V. Name Matches, DOB and Sex Do Not Match	• Incorrect information on application • Incorrect information on system	(a) A birth certificate/marriage certificate (where applicable) must be seen in order to resolve name, DOB and sex discrepancy. (b) Documentation identifying the participant must clearly document his/her name, date of birth, sex and parent's name. (c) Review documents showing sex and DOB. (d) If correct sex and DOB were entered in WMS and the individual/case is active, correct sex and DOB on TAD. If the individual/case is closed, complete and scan/file **ALERT** letter (Form **M-31b**) in case record. (e) If documentation in case record indicated information on our database is correct, refer the participant to the SSA to request a correction or update of the information in their files and if the correction involves a change of name, s/he must also request a new Social Security Card. Verification of this action must be submitted to the Center. (f) Where there is no birth/marriage certificate in the case record and the case is active, ask participant to submit his/her birth certificate. Follow-up action is required.

Note: When you change the Social Security number of an individual over 18, a new RFI clearance is generated. Review and resolve discrepancies.

The CITY of NEW YORK
Human Resources Administration
Family Independence Administration

Notice Date: _____

Name (and C/O name if present) and Address:	Unit Name:
	Worker Name:
	Caseload:
	Worker Telephone Number:
Case Number:	CIN:

Notice to Report to Social Security Office

Fold Here   Fold Here

Dear Sir/Madam:

A computer match of Public Assistance (PA), Food Stamp (FS) and/or Medical Assistance (MA) file(s) with Social Security files shows that the information indicated below for _____, with Social Security number

_____ , is different on each file. The information on the PA, FS and/or MA file(s) is based on documentation you provided us.

Participant Information

Last Name: _____   First Name: _____

Date of Birth: _____   Sex: ☐ Male   ☐ Female

PA, FS and/or MA Documented Data	Identification Number of Data	Social Security Administration Data	Identification Number of Data

You must use the same information for both PA, FS and/or MA and Social Security. If the information above is wrong on the Social Security Administration's files, you must go to the Social Security office and request a change to your Social Security record. **When you go to the Social Security office, please take your original birth certificate and/or marriage certificate, your photo I.D. card and this letter.** To find the office nearest your home, call 1 (800) 772-1213.

Be sure to have Social Security Administration staff complete and sign the form below. Mail the completed form to us in the enclosed self-addressed envelope on or before _____ .
                                                                                     (date)

If the information in the PA, FS and/or MA file(s) is wrong, contact your Worker at the number located above, on or before

_____ .
         (date)

_____
JOS/Worker/Date

TO BE COMPLETED BY THE SOCIAL SECURITY ADMINISTRATION (SSA)

☐ We have taken action to correct: _____

_____   _____
SSA Signature/Date   Participant's Signature of Approval

The CITY of NEW YORK
Human Resources Administration
Family Independence Administration

Fecha del Aviso: _____

Nombre (o nombre de quien acepte correo [C/O]) y dirección:	Nombre de la Unidad:
	Nombre del Trabajador:
	Carga de Casos:
	Número de Teléfono del Trabajador:
Número del Caso:	CIN:

Aviso de Presentarse a la Oficina de Seguro Social

Fold Here   Fold Here

Estimado(a) Señor(a):

Según un cotejo computarizado de archivos de Asistencia Pública, Cupones para Alimentos, y/o Asistencia Médica y Seguro Social con los siguientes datos de _____ con número de Seguro Social _____
(nombre de la persona)

no coinciden. Los datos de los archivos de Asistencia Pública, Cupones para Alimentos y/o Asistencia Médica provienen de información proporcionada por usted.

Información del Participante

Apellido: _____   Nombre: _____

Fecha de Nacimiento: _____   Sexo: ☐ Hombre   ☐ Mujer

Datos Documentados de Asistencia Pública, Cupones para Alimentos y/o Asistencia Médica	Número de Identificación de los Datos	Datos de la Administración de Seguro Social	Número de Identificación de los Datos

Usted tiene que someter los mismos datos para los archivos de Asistencia Pública, Cupones para Alimentos, y/o Asistencia Médica y Seguro Social. Si los datos más arriba de los archivos de la Administración de Seguro Social no son los correctos, tiene que presentarse a la oficina de Seguro Social y solicitar una enmienda a su expediente. **Por favor no se olvide de llevar su partida de nacimiento y/o partida de matrimonio, su tarjeta de identificación con foto, al igual que esta carta.** Para ubicar la oficina más cercana a usted, llame al (800) 772-1213.

Asegúrese de que el personal de Seguro Social del Administración llene y firme la parte inferior de este formulario, y luego devuélvanos el mismo por correo en el sobre adjunto a más tardar el _____.
(fecha)

Si la información en los expedientes de Asistencia Pública, Cupones para Alimentos y Asistencia Médica no es correcta, comuníquese con su Trabajador(a) al número más arriba a más tardar el _____.
(fecha)

_____
JOS/Trabajador(a)/Fecha

TO BE COMPLETED BY THE SOCIAL SECURITY ADMINISTRATION (SSA)

☐ We have taken action to correct:_____

_____

_____ _____   _____
SSA Signature/Date   Participant's Signature of Approval