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POLICY DIRECTIVE #06-10-ELI
(This Policy Directive Replaces PD #04-19-ELI)

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

Date: April 27, 2006	Subtopic(s): Eligibility
AUDIENCE	These instructions are for staff in Job/Model Centers/Non-Public Assistance Food Stamp (NPA FS) Offices and are informational for all other staff.
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.
BACKGROUND	Once an 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 SSN is present in WMS. A missing or inaccurate SSN can compromise the data obtained by the computer matching programs. When an individual's SSN is entered in WMS, WMS compares the SSN and the individual's demographics to the information in the Social Security Administration (SSA) computer file in order to determine if the SSN is valid.

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

See the attached list of SSN validation Codes (**Attachment A**)

To assist in determining and ensuring the validity of the SSN, SSN validation codes that indicate whether or not the SSN is valid or if there are any discrepancies in information between WMS and SSA files were developed (see **Attachment A**). Some of the validation codes are system-generated and others are assigned by the Worker.

An SSN validation code in Element **321** of the Turn-Around Document (TAD) is a required entry for every individual that has been accepted for PA, MA and/or FS.

Reports

To keep track of and ensure that all SSN discrepancies are appropriately addressed, there are two system-generated SSN reports and one SSN external clearance report currently provided by the State. They are as follows:

- Social Security Validation Report (**WINRO203**) – 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. The report 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/WINRO597**) – 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, generated through the line printer in the Center's Control Unit, is available by the third business day after one of the above actions is completed. 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 SSNs can be handled as a unit.

If the individual is in receipt of Retirement, Survivors or Disability Insurance (RSDI), the **WINRO597** also provides confirmation of the benefit amount received.

The appropriate corrective action to resolve the discrepancies identified by these reports must be taken within 45 days of the date of the report.

RFI Clearances

See the attached list of RFI Status/Resolution Codes (**Attachment B**)

In addition to the **WINRO203** and **WINRO597**, the Resource File Integration (RFI) provides information regarding the validity of the SSN. The RFI is a clearance report that is generated the same way that the **WINRO597** is generated. This clearance also provides an electronic WTPY inquiry clearance viewable in WMS. 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 screen to indicate the presence of RFI information that must be resolved prior to case acceptance. **Note:** This message will appear in the WMS Message area at the top of the **POS Household** Screen and in the **POS TAD** window as a pop-up message, as shown in the following two screen images.
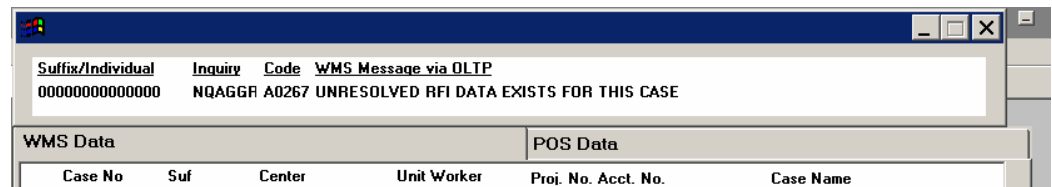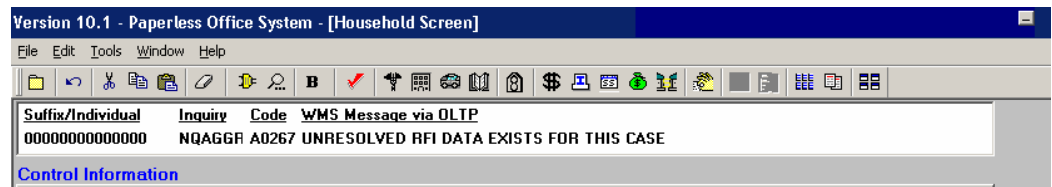
Besides other RFI information such as Wage Reporting System (WRS), Unemployment Insurance Benefits (UIB), New Hire and Bank matches, this clearance will indicate the validity of an SSN. It also indicates the amount of SSA benefits received and the SSN under which the benefits are received (such as dependent benefits of a child received under the parent's SSN), if applicable.

REQUIRED ACTION

When the **WINRO203**, **WINRO597** or RFI is received and indicates that the individual's demographic information does not match that of the SSA file, the Worker must check the information in WMS against the information documented in the case file.

In every instance where a correction in the WMS demographic information is made to resolve an SSN discrepancy, code **1** must be entered in Element **321** of the TAD.

- If the discrepancy is a result of Agency error, prepare a TAD to correct the discrepancy (for example, incorrect DOB, last name or SSN). As part of the TAD annotations to correct a discrepancy (regardless of the type of discrepancy), code **1** (SSN Present but Not Yet Validated) must be entered in Element **321**.

Updating SSA file

- If the case file documentation confirms that the information on the WMS database is correct:

  ▪ Instruct the participant to report to ane SSA office with the appropriate documentation to have the SSA correct the information in its file;

  ▪ Advise the participant that s/he must request a Receipt for Application for a Social Security Number (**SSA-5028**) from the SSA and that the **SSA-5028** must be submitted to the Job Center/NPA FS Office;

  ▪ Prepare and give the participant the Documentation Requirements form (**W-113K**), in Job Centers, or the Notice of Outstanding Required Documentation (**W-120D**), in NPA FS Offices, indicating the date (a minimum of 10 days must be allowed) by which the **SSA-5028** must be provided.

  Note: Individuals legally known by another name may choose the name by which they want to be known. However, they 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 by both. If the name chosen is not the name on the Social Security card, the SSA file must be updated. The individual must be referred to a local SSA office to apply for a correct card.

- 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.

The **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 Agency error, refer to the Social Security Validation Failure Review Guide (**W-205K**) for follow-up actions.

Referral to BFI

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 SSN is listed as invalid on the Social Security Validation Report (**WINRO203/WINRO597**) and after review, the name on the card on file corresponds with the name the participant uses and that is in WMS, make a referral to BFI using the Referral to Bureau of Fraud Investigation (**BFI-14**). When the referral to BFI is made, <u>do not</u> tell the participant about the referral for investigation.

POS Workers may access the online **BFI-14** while in POS by clicking on **Help** in the menu bar and then clicking on Bureau of Fraud Investigation (BCFI) as shown in the screen shot below. This will bring up the online **BFI-14** in Internet Explorer.
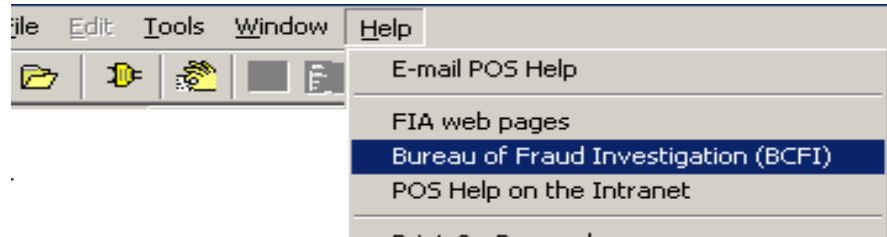
| Closed Cases | If a case on either the **WINR0203** or **WINR0597** is closed at the time of the review, place a copy of the special ALERT (**M-31b**) in the closed case file. If the individual reapplies for assistance, the discrepancy must be resolved. In addition, if a fraudulent situation is identified, refer the case to BFI. |

Failure to Comply (FTC)

Failure of an applicant/participant to cooperate (FTC) in furnishing, applying for or validating an SSN will result in denial of assistance to the Non -cooperating 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 or apply for an 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 non-applying household member whose needs and income are considered in determining the amount of assistance granted to the household fails to furnish or apply for an SSN, the entire household is ineligible for assistance.

Monitoring and tracking required actions	The Administrative Job Opportunity Specialist II (AJOS II)/Principle Administrative Associate II (PAAII) 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**).
Missing SSN ACI code is found in Element **382** of the TAD	Currently, there are no WMS reports that track cases where participants are missing an SSN. It is the Worker's responsibility to ensure that this issue is appropriately addressed at recertification and at any point of contact in between. If the participant's SSN validation code is **2** (SSN Applied For but Not Yet Available) or **4** (SSN Not Applied For), or if the participant is a citizen or a noncitizen with an Alien/Citizen Indicator (ACI) code <u>other than</u> "**B**" (Certain Battered Aliens) or "**O**" (PRUCOL) who has an SSN indicator code **3** (Closed, Denied or Suspended), use **Attachment A** for required action.
Instructions for participants who are noncitizens with ACI code "B" or "O" and SSN indicator code 3	If the participant is a noncitizen with ACI indicator code "**B**" or "**O**" and the SSN indicator code is **3**, review the case to determine the circumstances of denial. If the case review indicates that the SSN was denied solely because the SSA does not recognize the noncitizen as "lawful" (see PB #06-63-ELI), ask the noncitizen whether anything has changed regarding his/her immigration status or if employment authorization has been granted. If the noncitizen indicates that there are no changes in these areas (that is, that neither immigration status nor employment authorization has been granted) **do not refer** him/her to SSA to reapply for an SSN. In this situation a case entry explaining that there has been no change in immigration situation is all that is required. The SSN indicator in this instance will remain **3**. In instances where the noncitizen indicates that s/he has obtained employment authorization and/or immigration status has been granted, ensure that the appropriate documents required to support the participant's statement are scanned and inquire whether the noncitizen has obtained an SSN since obtaining employment authorization and/or immigration status. If the noncitizen has obtained an SSN: • Ensure that his/her case file is updated; • Prepare a TAD action to change the SSN indicator in Element **321** from **3** to **1**.

If s/he has not yet obtained an SSN:

- Prepare the Social Security Number Referral Letter and give it to the noncitizen with instructions to reapply for an SSN;
- Advise the noncitizen to bring to the SSA any documents that will verify that s/he has been granted immigration status and/or that employment authorization has been issued; and
- Prepare a TAD to change the SSN indicator in Element **321** from **3** to **2**.

If the noncitizen who has obtained immigration status or employment authorization fails to comply with the SSN reapplication process, follow the FTC instructions on page 5.

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.
- To update the SSN or the validation code, the Worker must go to the **Individual Detail** window and make changes to the corresponding fields. The changes made in that window will appear on the POS TAD. 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 entering a comment.

Manual process required to resolve SSN indicator codes **A**, **B**, **C**, **D** and **E**

Note: Because of systems constraints, when a correction of demographic information is required in order to resolve SSN indicators **A**, **B**, **C**, **D** or **E**, POS will not allow the required entry of indicator **1** in Element **321** of the TAD. Therefore, until further notice, all actions to resolve these codes must be processed manually.

- The Worker must indicate all changes made in the **Individual Detail** window or that the individual has been referred to a 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 file.
- If the case is closed at the time of the review and 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 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 and enter the comments. • Scan all non-POS-generated forms and notices that are signed by the individual into the electronic case file, 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 <u>provide or apply</u> for an SSN at **application or recertification**, the individual without an 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	<u>Case Rejection Code (Element **231**)</u> **F21** Refusal to Apply/Provide SSN (H/H=1)

FS participants cannot be called in between certifications to verify SSN.	<u>Individual Rejection Code (Element **351**)</u> **F21** Failure to Provide Social Security Number During Recertification Interview <u>Case Closing Code (Element **231**)</u> **F21** Failure to Provide SSN at Recertification (Adequate) (HH=1) <u>Individual Sanction Code (Element **351**)</u> **F20** Failure to Provide SSN During Certification Period (Timely) <u>Individual Removal Code (Element **351**)</u> **F21** Failure to Provide or Apply for SSN During Recertification Interview

See FSSB Sec. 5, pg. 47 regarding religious belief	FS household members who refuse to provide or apply for an SSN because of a valid religious belief are not to be disqualified from participating in the Food Stamp Program. Documentation must be clearly 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 sanctioned for public assistance and provided FS as a mixed household. PA for the individual(s) would be sanctioned using code **F22**, 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, pg. 51   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

<u>Case Closing Codes (Element **231**)</u>
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 participant cannot be called in between certifications to verify SSN.

<u>Individual Rejection Code (Element **351**)</u>
F22 Client Refuses to Verify SSN

<u>Individual Removal Code (Element **351**)</u>
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   An applicant/participant can request and receive a conference with a Fair Hearing and Conference (FH&C) AJOS I/Supervisor I at any time. If an applicant/participant comes to the Job Center requesting a conference, the Receptionist must alert the FH&C Unit that the individual is waiting to be seen.

The FH&C AJOS I/Supervisor I will listen to and evaluate any material presented by the applicant/participant, review the case file and discuss the issue(s) with the JOS/Worker responsible for the case and/or the JOS/Worker's Supervisor. The AJOS I/Supervisor I will explain the reason for the Agency's action(s) to the applicant/participant.

If the determination is that the applicant/participant has presented good cause for the infraction or that the outstanding Notice of Intent needs to be withdrawn for other reasons, the FH&C AJOS I/Supervisor I will settle in conference (SIC), enter detailed case notes in NYCWAY and forward all verifying documentation submitted by the applicant/participant to the appropriate JOS/Worker for corrective action to be taken.

In addition, if the adverse case action still shows on the "Pending" (**08**) screen in WMS, the AJOS I/Supervisor I must prepare and submit a Fair Hearing/Case Update Data Entry Form (**LDSS-3722**), change the 02 to an 01 if the case has been granted aid continuing (ATC), or prepare and submit a PA Recoupment Data Entry Form (**LDSS-3573**) to delete a recoupment. The AJOS I/Supervisor I must complete a Conference Report (**M-186a**).

If the determination is that the applicant/participant has not shown good cause for the infraction or that the Agency's action(s) should stand then the AJOS I/Supervisor I will explain to the applicant/participant why s/he cannot settle the issue(s) in conference (SIC). The AJOS I/Supervisor I must complete an **M-186a**.

Should the applicant/participant elect to continue his/her appeal by requesting or proceeding to a Fair Hearing, already requested, the FH&C AJOS I/Supervisor I is responsible for ensuring that further appeal is properly controlled and that appropriate follow-up action is taken in all phases of the Fair Hearing process.

Conferences at NPA Food Stamp Offices

If an applicant/participant comes to the NPA FS Office and requests a conference, the Receptionist must alert the Site Manager's designee that the applicant/participant is to be seen. If the applicant contacts the Eligibility Specialist directly, the Eligibility Specialist must advise the applicant/participant to call the Site Manager's designee.

The Site Manager's designee will listen to and evaluate the applicant/participant's complaint regarding the case denial. After reviewing the documentation and case file and discussing the issue with the group Supervisor/Eligibility specialist, the Site Manager's designee will make a decision. The Site Manager's designee will decide to resolve or defend the case based on all factors and on whether the case was denied appropriately.

The Site Manager's designee is responsible for ensuring that further appeal by the applicant/participant 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 for the Job Center	All Evidence Packets must contain a detailed History, copies of relevant WMS screen printouts, other documentation relevant to the action taken and copies of NYCWAY "Case Notes" screens, when applicable.
Evidence Packets for the NPA FS Office	All Evidence Packets for NPA FS Offices must include the returned envelope, address verification, WMS screen printouts, notices sent and any other pertinent information to support the Agency's action.

LIMITED ENGLISH SPEAKING ABILITIES (LESA) IMPLICATIONS AND HEARING IMPAIRED IMPLICATIONS

For Limited English Speaking Ability (LESA) and hearing-impaired Applicants/participants, make sure to obtain appropriate interpreter services in accordance with PD #06-12-OPE and PD #06-13-OPE.

REFERENCES

02 INF 29
18 NYCRR 351.2(c)
18 NYCRR 352.30 (d)(1)(i)
18 NYCRR 360-2.3(a), 369.2, 370.2, 387.16(c)
Food Stamp Source Book (FSSB), Sec 5, pps. 47–52
93 ADM 4

ATTACHMENTS

🖥. Please use Print on Demand to obtain copies of forms.

Attachment A	SSN Validation Codes and Required Actions
Attachment B	RFI Status/Resolution Codes
WINR0203	Social Security Validation Report
WINR0597	(WPTY) Wired Third Party Inquiry
BFI-14	Referral to Bureau of Fraud Investigation (Rev. 3/1/2000)
M-31b	ALERT SSN Discrepancy on Closed/Rejected Case/Individual (Rev. 4/27/06)
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)

Attachment A

SSN VALIDATION CODES AND REQUIRED ACTIONS

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 data base (Conversion Code)	NO ACTION NECESSARY
**7 - SSN assigned by SSA	NO ACTION NECESSARY
**8 - SSN validated by SSA	NO ACTION NECESSARY
9 - Invalid SSN for closed cases ****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	Review documentation submitted to verify identity. If discrepancy is due to agency error, prepare a TAD to correct name. Ensure that code "1" is entered in element 321 of the TAD as part of the corrective action. If information is WMS is correct, refer applicant/participant to the SSA to apply for a corrected SSN. Note: 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 - DOB given-name match (Difference in maiden and married names) ****D - No match on DOB ****E -** Client known to SSA by this # – xxx-xx-xxxx (number sent to SSA is wrong due to a transposition or one-digit-off error) **Note**: See RFI for the correct number.	Review documentation submitted to verify Date of Birth (DOB) and gender. If Agency error, prepare TAD to correct information in WMS. In addition to revised information, enter code "1" in element 321. If the information in WMS is correct, refer the applicant/participant to the SSA (M-31g) to have the information in his/her record corrected.
X- Deceased	This code is system-generated. When code X appears on an individual line, take necessary action to close the individual's line or the case for a single-person household. If the deceased individual is the caretaker of a minor child, instructions outlined in PD #01-17 must be followed.

*Does not apply to noncitizens with ACI code "B" or code "O"
**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 of 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 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)
P03 - Application/Individual rejected	Failed to respond to request to verify RFI data. (Cannot Accept)
P04 - Application/Individual rejected	Ineligible due to (nonrelated) RFI data. (Cannot Accept). Use this code if the client reported the 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)
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)
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 WINR0203

PA CENTER: 0 6

CASE	CTR WRNG	REC TYPE	CIN	SSN	LAST NAME	FIRST	MI	SEX	DOB	CIN	VAL	MESSAGES
00364	C 5 00053 SSA XP	S				A	M					D NAME MATCHES, ----NO MATCH DOB
00364	C 6 00053 SSA XP	S				A	M					D NAME MATCHES, ----NO MATCH DOB
00347	C 6 00062 SSA VP	V				A	M					E GIVEN NAME & DOB MATCH,NO MATCH LAST NAME
00369	C 6 00062 SSA VP	V				A	M					E GIVEN NAME & DOB MATCH,NO MATCH LAST NAME
00916	C 5 00355 SSA SN	X				A	M					B NO MATCH NAME, BIRTH DATE NOT CHECKED
00916	C 5 00355 SSA SN	X				A	M					B NO MATCH NAME, BIRTH DATE NOT CHECKED
00916	C 5 00355 SSA SN	X				A	M					B NO MATCH NAME, BIRTH DATE NOT CHECKED
00916	C 5 00355 SSA SN	X				A	M					B NO MATCH NAME, BIRTH DATE NOT CHECKED
00255	C 5 00355 SSA ST	C					M					SOCIAL SECURITY NUMBER IS NOT ON SSA FILE
00255	C 5 00385 SSA ST	C					M					SOCIAL SECURITY NUMBER IS NOT ON SSA FILE
00425	C 5 00301 SSA YG	Y				O	F					CLIENT KNOWN BY OTHER SSN
00567	C 5 00903 SSA UC	Y				O	M					SOCIAL SECURITY NUMBER IS NOT ON SSA FILE
00567	C 7 00903 SSA UC	Y					M					SOCIAL SECURITY NUMBER IS NOT ON SSA FILE

TOTAL FOR CENTER: 000013

NEW YORK CITY HUMAN RESOURCES ADMINISTRATION
WELFARE MANAGEMENT SYSTEM

NTFY SOCIAL SECURITY/NUMBER EXCEPTION REPORT

HMS REPORT WINR0597

CENTER: 0...
PAGE BREAK: CASE NUMBER

CASE NUM/ CASE NAME	CIN	SSN	LAST NAME	FIRST	MI	SEX	DOB	MESSAGE FROM SSA
WX ... -M		824			M	M		VALIDATED WITH SSN BENEFITS REPORTED. INQUIRY DATE: 03/13/03 FOR INVALID SSN
ZR ... X		768			M	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

WELFARE 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

The **CITY** of **NEW YORK**
Human Resources Administration
Family Independence Administration

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

_____,

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 valid Social Security number (and/or identity) and must ensure that documented information (SSN, name, date of birth and gender) is correctly reflected in WMS.

Form M-31d (face)
Rev. 4/21/03

Social Security Validation Report Worksheet

Human Resources Administration
Family Independence Administration

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
(C) Incorrect last name
(E) Name reversed - first name entered as last name
(G) Child listed as male, female, or unborn
(I) Individual married but name not changed
(K) Incorrect information entered on system - DOB/Sex
(M) Incorrect birthdate
(O) Other (Explain): _____

(B) Fraudulent SSN provided
(D) Name misspelled
(F) Name on wrong line
(H) Middle initial omitted or incorrect
(J) Incorrect information shown on application
(L) Incorrect information on SSA's data file
(N) Birthdate shown is for another individual

(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 | Total Number Received for Review | Number of Household Members with Messages Other Than SSN not on SSA File | \multicolumn{8}{DISPOSITION/ACTION TAKEN CODES} | | | | | | | | Total Reviewed | Total Outstanding | No. of New WRS/UIB Clearances Requested for Indiv. over 18 Where SSN Changed on Database |
			Case ATO'D — Item 13A	MA Only Case — Item 13B	NPA Case — Item 13C	Case/Indiv. Closed — Item 13D	Demo/SSN Already Corrected — Item 13E	Referred to SSA — Item 14	DSS-3517 Prepared to Change Database — Item 15	Case Closed/ Indiv. Rem. — Item 16	Number of Potential Fraud Referred to BFI — 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.