



FAMILY INDEPENDENCE ADMINISTRATION

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POLICY DIRECTIVE #09-43-SYS

(This Policy Directive Replaces PD #09-41-SYS)

RESOURCE FILE INTEGRATION (RFI)

Date: December 9, 2009	Subtopic(s): WMS
AUDIENCE	The instructions in this policy directive are for Job Center and Non Cash Assistance Food Stamp (NCA FS) Center staff. They are informational for all other staff.
REVISION TO THE ORIGINAL POLICY DIRECTIVE See PB #08-19-OPE	This procedure is being revised to remove reference to the Financial Institution Inquiry Form (W-532F). This form was previously made obsolete and replaced by the state's Bank Inquiry and Clearance Report Form (LDSS-760).
POLICY See PD #09-19-ELI . See PD #08-01-ELI .	Non-exempt income and resources must be used to eliminate or reduce the need for Cash Assistance (CA), Food Stamps (FS), and Medical Assistance (MA) benefits and conserve public funds through assignment and recovery. As a condition of CA eligibility, applicants/participants are required to use available resources and to apply for, as well as pursue, potentially available resources. Non-exempt income such as employment income, Unemployment Insurance Benefits (UIB), Supplemental Security Income (SSI), etc. must be budgeted to determine CA, FS, and MA eligibility. Applicants for, or participants of, CA, FS, and/or MA must not exceed the income/resource limits. All resources (if any) must be evaluated to determine whether they are countable towards the resource limit or exempt. The resource test is not applied to individuals categorically eligible for FS.

HAVE QUESTIONS ABOUT THIS PROCEDURE?
Call 718-557-1313 then press 3 at the prompt followed by 1 or
send an e-mail to *FIA Call Center*

BACKGROUND

Resource File Integration (RFI) is a subsystem of the Welfare Management System (WMS) which communicates with the following interfaces to identify the financial resources of CA, FS, and/or MA applicants/participants:

- New York State (NYS) Department of Taxation and Finance Wage Reporting System (WRS) for employment income;
- NYS Department of Labor Unemployment Insurance Benefit (UIB) file for unemployment benefits;
- Social Security Administration (SSA) for Retirement, Survivor, and Disability Insurance (RSDI) benefits;
- New York State Department of Taxation and Finance for newly hired or rehired employees of the state (HIRE);
- Participating NYS banks for checking and savings account information; and
- Financial Institution Recipient Match (FIRM) for trust fund and escrow account information.

In addition, RFI also verifies the Social Security Number (SSN), name and date of birth of applicants/participants through the SSA interface.

REQUIRED ACTION

When demographic information is changed in WMS, an RFI inquiry is automatically generated on the case. Staff will be alerted to an unresolved RFI match with a message on the following:

- Paperless Office System (POS) **Household** screen;
- POS Turn-Around Document (TAD); and
- WMS **Case Composition – Suffix/Individual Summary** screen.

RFI match information should be reviewed at application and prior to the recertification of a case.

To review the RFI information, the Worker must access WMS and take the following actions:

- From the **WMS Inquiry Menu** screen, enter **9** (RFI [Resource File Integration]) in the **Enter # of Inquiry Desired** field and hit the **Enter** button (transmit). The **WMS RFI Inquiry Menu** screen will appear.

WMS Inquiry Menu
screen

```

NQRV00 (P)                                WMS Inquiry Menu                                01/27/05
                                           Version 04303
-----
#1. Case Inquiry
#2. Individual Inquiry
#3. Benefits Issuance History Inquiry
#4. Recoupment Inquiry
#5. Address Inquiry
#6. Forms Preparation
#7. SDX Inquiry
#8. Facility Inquiry
#9. RFI (Resource File Integration)
-----
Enter # of Inquiry Desired
                                           CMD
    
```

A callout box labeled "Enter option 9" points to the menu item "#9. RFI (Resource File Integration)".

- Enter **1** (Case List) in the **Enter # of Inquiry Desired** field and enter the Case Number, CIN or SSN as the search criterion and transmit. The **RFI Case List** screen will appear.

WMS RFI Inquiry Menu
screen

```

NQRFI0 (P)                                WMS RFI Inquiry Menu                                01/27/05
-----+-----
#1. CASE LIST
#2. QUICK PRINT
-----+-----
Enter # of Inquiry Desired
Enter Case #
    or
Enter CIN
    or
Enter SSN  - - -
                                           CMD
    
```

Two callout boxes are present: one labeled "Enter Case Number, CIN or SSN" points to the input fields, and another labeled "Enter option 1" points to the "Enter # of Inquiry Desired" field.

- The **RFI Case List** screen displays a column for each interface with a code indicating the interface's RFI status. The RFI status codes are:
 - **N** (Response received – no data found)
 - **R** (RFI data are resolved)
 - **U** (Unresolved RFI data)

- **V** (SSA has verified SSN only)
- **W** (Unresolved RFI data due to problem with SSN)
- **Space** (Query sent but no response received)

An application case cannot be placed in **AC** status (even if all documentation and finger imaging requirements have been met) until RFI status codes **U** and **W** have been investigated and resolved.

Codes **U** and **W** represent RFI hits that must be investigated and resolved before the case can be activated in **AC** (Active) status. Activation of a case in **SI** (Single Issue) status with the presence of code **U** is permitted (e.g., cases eligible to receive FS under the Expedited FS criteria) but an attempt to resolve the RFI hit must still be made, even if the case will be closed. Code **U** may appear on an active case even though there is no outstanding computer match, as the case may have been accepted on an emergency basis prior to receipt of the RFI information. Activation of a case in **SI** status is prohibited when code **W** is present.

For active cases, only the RFI status code **U** will appear if there is a hit. However, codes **N** and **V** may be present on an active case because a match occurred when the individual was in **AP** (Applying) status. No action is required if RFI status code **N** appears. RFI status codes **U** and **V** may have income attached to them and must be investigated and resolved. Any new recurring income discovered must be properly budgeted on the case, even if the case has been activated.

RFI Case List screen

WMS-PROD-M11PBZ - Reflection for ReGIS Graphics

File Edit Connection Setup Macro Window Help

NQR01 (P) RFI CASE LIST Page 06/10/09 01 OF 01

Case No: 0000000000 Center: 044 Unit/Worker: 00042

Individual Data:				IND STAT				M W U S I A I							
Ln	Sf	SSN	Val	First Name	Last	PA	MA	FS	R	S	B	A	E	K	M
01	01	000-00-0000	8	XXXXXXXXXX	XXXXXXXXXX	AC	AC	AC	N	R	N	V	N	U	
02	01	000-00-0000	8	XXXXXXXXXX	XXXXXXXXXX	AC	AC	AC	N	N	V	N			
03	01	000-00-0000	8	XXXXXXXXXX	XXXXXX	AC	AC	AC	N	N	V	N			

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

177, 2 VT400-7 -- m11pbz.nyc.state.ny.us via TELNET

Processing Unresolved RFI Hits

To process an unresolved RFI hit, take the following actions:

- To the left of the line number with a code **U** or **W** in its column, enter the code for the interface (the interface code key appears on the bottom of the screen) and transmit. Based on the code entered, one of the following screens will appear:

WRS matches for active CA participants are processed by the Division of Financial Review and Processing (DFRP).

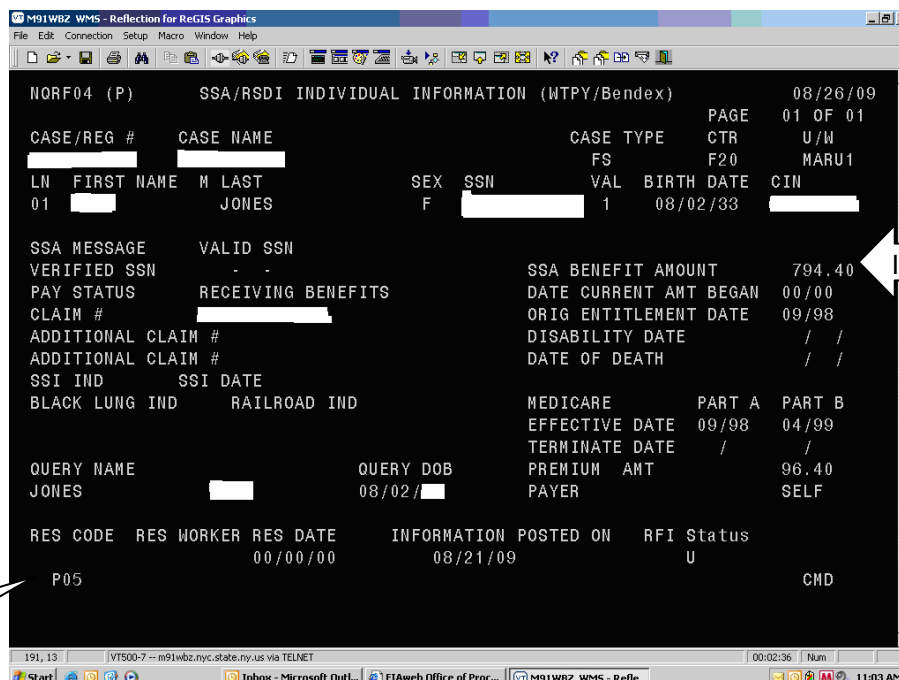
- **1: Wage Reporting Information** screen
- **2: UIB Individual Information** screen
- **3: SSA/RSDI Individual Information** screen
- **4: New Hires Match Information** screen
- **5: Bank Match/Balance Individual** screen
- **6: Bank/FIRM Account List** screen

If more than one individual appears with a **U** or **W** in an interface column, repeat these steps for each individual:

- If the RFI Status Code is **U**:
 - Check the HRA Viewer for scanned documents related to the RFI hit.
 - If documents are present that confirm the issue was resolved, enter resolution code **P05** (RFI does not affect eligibility - Currently correct) (see **Attachment A**) in the **Res Code** field. This will automatically set the **RFI Status Code** to **R**. No further RFI related action is required.
 - If documents are present which indicate that the issue is currently under investigation by the Bureau of Fraud Investigation (BFI) or the Investigation, Revenue and Enforcement Administration (IREA), enter resolution code **P08** (Referred to Bureau of Client Fraud Investigation [BCFI]) in the **Res Code** field. Take no further RFI related action on the case until the investigation is complete.
 - Review the income and/or resource information on the screen to determine if the match affects CA and/or FS eligibility.

See **Attachment A** for list and explanation of resolution codes.

SSA/RSDI Individual Information (WTPY/Bendex) screen



Income Matches

- If the information is pertaining to income that has not been documented, send the applicant/participant one of the following forms requesting verification of the information found in the match (e.g., award letters [SSA, UIB] or pay stubs/employer letter [employment]):
 - Notice to Report to Center (**M-3g**) at Job Centers; or
 - Request for Contact/Missed Interview (**LDSS-4753**) form at NCA FS Centers.

Income Verified - Ineligible

- If the applicant/participant verifies income that makes the household ineligible for CA and/or FS:
 - close the case using one of the following income related codes:
 - **E30** Excess Earned Income (Wage, HIRE RFI hit)
 - **E35** Excess Unearned Income (UIB,SSA RFI hit)
 - enter resolution code **P04** (Application/Individual Rejected - Ineligible due to RFI data) in the **Res Code** field. This will automatically set the **RFI Status Code** to **R**.

Income Verified - eligible

- If the applicant/participant verifies income and the household remains eligible:

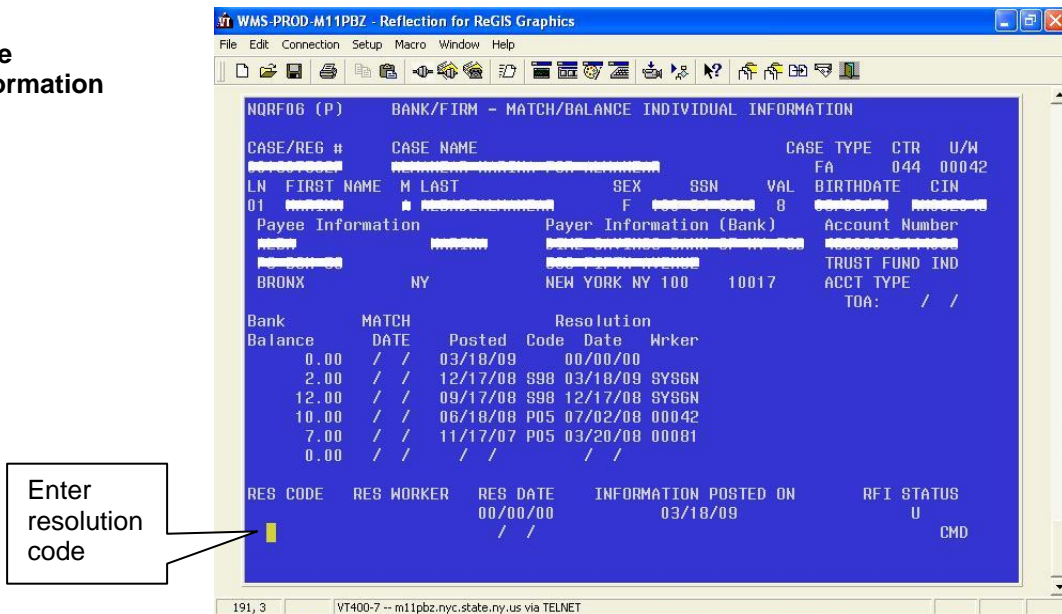
- enter resolution code **P07** (case eligible at a reduced grant due to RFI) in the **Res Code** field
- calculate, save, and authorize a new budget that includes the verified income.

Resource Matches

See [PD #09-19-ELI](#) for CA resource policy and [PD #08-01-ELI](#) for FS resource policy.

- If the information is pertaining to a resource such as bank/FIRM matches and the amounts do not exceed the resource limits:
 - enter resolution code **P05** (RFI data does not affect eligibility) in the **Res Code** field. This will automatically set the **RFI Status Code** to **R**. No further RFI related action is required.

Bank/Firm – Match/Balance Individual Information screen



Excess Resources

- If the applicant/participant responds and submits documentation which supports a dollar amount above a resource limit:
 - enter resolution code **P04** (Application/Individual Rejected - Ineligible due to RFI data) in the **Res Code** field;

CA Cases

- reject/close the CA case using CA closing code **U40** (Excess Resources);

NCA FS Cases

- if the household is not categorically eligible for FS:

- Applicants – reject the FS case using FS rejection code **U40** (Excess Resources).
- Participants -- close the case at recertification using FS closing code **U45** (Increased Resources).

Unable to provide documentation

- If the applicant/participant responds but is unable to provide documentation of the account(s):

Revised information

- CA cases send the Bank Inquiry and Clearance Report (**LDSS-760**) form to the financial institution. If the financial institution returns documentation which supports a dollar amount above the resource limit, proceed as indicated above.
- NCA FS cases
 - Applying cases send the Request for Contact/Missed Interview (**LDSS-4753**). If the applicant returns documentation which supports a dollar amount above the resource limit, proceed as indicated above.
 - Active cases send the Notice of Requirement to Provide Documentation of Resources at Recertification Interview (**M-32f**) form. If the participant provides documentation which supports a dollar amount above the resource limit, proceed as indicated above.

Incorrect RFI information

- If the participant responds providing documentation proving that the RFI information is incorrect::
 - enter resolution code **P06** (RFI individual not the same as client) in the **Res Code** field.

Failure to respond

- If the participant does not respond:
 - enter resolution code **P03** (Application/Individual Rejected - Failure to Respond to Request to Verify RFI Data) in the **Res Code** field;
 - CA cases - close the CA case using code **V20** (Failure to Provide Verification). A separate determination is required for FS.

Request for verification as part of the CA/FS recertification interview

- NCA FS cases - If the Notice of Requirement to Provide Documentation of Resources at Recertification Interview (**M-32f**) form was sent as part of the FS recertification process and the participant does not respond:

- close the FS case using code **M20** (Refusal to Provide Information During the Certification Period).

Additional RFI codes

- If applicable, these additional resolution codes to indicate the resolution of the RFI hit can be entered in the **Res Code** field:
 - **P02** (Demographic changes on WMS)
 - **P90** (Override RFI information. [Can be used on WTPY screen only.])
- Document in the participant's case record whether his/her eligibility was affected by the RFI match and whether any resolution actions were taken. The record must indicate the additional resource information disclosed on the WMS RFI screens that changed the eligibility of the participant.

Note: If there are multiple hits, the **U** code will remain until all hits are resolved.

An RFI code of **W** appears in the SSA interface column only.

- If the RFI Status Code is **W**:
 - It indicates a discrepancy with the participant's SSN based on one of the following reasons:
 - It is not on the SSA file.
 - It is one digit off or digits are transposed.
 - It belongs to a deceased person.

An error message indicating the nature of the problem will be provided in the SSA section.

- To resolve the issue, perform the following:
 - *SSN is not on the SSA file* – enter resolution code **P01** (Can be used only on WTPY screen **NQRF04**). Client required to correct SSA's records. Have the participant contact SSA to correct his/her records.
 - *SSN is one digit off or digits are transposed* (The correct SSN and benefits will be provided in the SSA section.) – Perform the appropriate case action to correct the SSN.
 - *SSN belongs to a deceased person* – WMS will automatically generate a case closing for single-person CA, NCA FS, and MA cases, reported deceased through the SSA interface. The SSN validation code for deceased individuals is code **X**. (For additional information regarding code **X**, refer to PB #04-155-SYS.)

The autoclose process is only for single-person households (H/H = 1). For multiperson households, staff must continue to follow instructions in [PB #04-155-SYS](#).

When the participant (in a single-person household) is deceased, the SSA message displays “Deceased” with the Date of Death. When SSA validates the SSN and reports the individual as deceased, RFI will flag the case for closing. WMS automatically closes the flagged single-person household cases.

The Client Notices System (CNS) closing code used to automatically close the CA/FS or NCA FS case is **E95** (Died [HH=1]). The Date of Death from RFI is the **Amplification Date**. Current CNS rules for case closings will be followed.

PROGRAM IMPLICATIONS

Model Center Implications	There are no Model Center implications.
Paperless Office System (POS) Implications	There are no additional POS implications.
Food Stamp Implications	<p>A separate FS determination is required when a CA case is closed because the participant or financial institution provides documentation supporting a dollar amount above the resource limit for CA (Closing Code U40). Households with children are entitled to transitional FS benefits.</p> <p>A separate FS determination is also required when a CA case is rejected or closed for excess income. CA cases with children that are closed for excess income are entitled to transitional FS benefits. See the Worker’s Guide to Codes for more information regarding rejection/closing codes related to excess income.</p> <p>If a CA case is closed because the participant failed to respond to a computer match call-in (Closing Code V20), a separate FS determination is required. Households with children are entitled to transitional FS benefits.</p>
Medicaid Implications	If a CA case is closed because the participant or financial institution provides documentation supporting a dollar amount above the resource limit for CA (Closing Code U40) or the participant failed to respond to a computer match call-in (Closing Code V20), a separate determination is required for MA.

A separate MA determination is also required when a CA case is rejected or closed for excess income (see the Worker's Guide to Codes for rejection/closing codes related to excess income).

LIMITED ENGLISH SPEAKING ABILITY (LESA) 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 #09-14-OPE](#) and [PD #08-20-OPE](#).

FAIR HEARING IMPLICATIONS

Avoidance/
Resolution

Ensure that all case actions are processed in accordance with current procedures and that electronic case files are kept up to date. Remember that applicants/participants must receive either adequate or timely and adequate notification of all actions taken on their case.

Conferences at
Job Centers

An applicant/participant can request and receive a conference with a Fair Hearing and Conference (FH&C) AJOS/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. In Model Centers, the Receptionist at Main Reception will issue an FH&C ticket to the applicant/participant to route him/her to the FH&C Unit and does not need to verbally alert the FH&C Unit staff.

The FH&C AJOS/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/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 evidence that the outstanding Notice of Intent (NOI) needs to be withdrawn for other reasons, the FH&C AJOS/Supervisor I will Settle in Conference (SIC) and enter detailed case notes in NYCWAY. The AJOS/Supervisor I will 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/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 CA Recoupment Data Entry form ([LDSS-3573](#)) to delete a recoupment. The AJOS/Supervisor I must complete a Conference Report form ([M-186a](#)).

If the participant fails to show evidence or if it is determined that the Agency’s action(s) should stand, the AJOS/Supervisor I will explain to the applicant/participant why he/she cannot SIC. The AJOS/Supervisor I must complete an **M-186a** form.

Should the applicant/participant elect to continue his/her appeal by requesting a Fair Hearing or proceeding to a hearing already requested, the FH&C AJOS/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 NCA FS Centers

If an applicant/participant comes to the FS Center and requests a conference, the Receptionist must alert the Center Manager’s designee that the applicant/participant is to be seen. If the applicant/participant contacts the Eligibility Specialist directly, advise the applicant/participant to call the Center Manager’s designee. In Model Centers, the Receptionist at Main Reception will issue an FS Conf/Appt/Problem ticket to the applicant/participant to route him/her to the NCA FS Reception area and does not need to verbally alert the Site Manager. The NCA Receptionist will alert the Center Manager once the applicant/participant is called to the NCA FS Reception desk.

The Center Manager’s designee will listen to and evaluate the applicant’s/participant’s complaint regarding the case closing. The applicant/participant must provide current verification of address to resolve the issue. After reviewing the documentation, case record and discussing the issue with the Group Supervisor/Eligibility Specialist, the Center Manager’s designee will decide to resolve or defend the case based on all factors and on whether the case was closed correctly.

The Center 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 All Evidence Packets must contain a detailed history (e.g., copies of POS “Case Comments” and/or NYCWAY “Case Notes”), copies of relevant WMS screen printouts, notices and other documentation relevant to the action taken.

RELATED ITEMS [PD #08-01-ELI](#)
[PD #09-15-OPE](#)
[PD #09-19-ELI](#)

ATTACHMENT **Attachment A** RFI Resolution Codes

RFI Resolution Codes

Code	Meaning	Case Result
P01	Social Security Data Reviewed —Use this code if the social security number was entered incorrectly or the applicant had to be referred to the Social Security Administration for correction.	Can Accept
P03	Case or individual rejected --- Failure to respond/cooperate with RFI review or financially ineligible. Use this code if the rejection is based upon our first learning of the potential income from RFI prior to the applicant providing the information.	Cannot Accept
P04	Case or individual rejected, not related to RFI – Use this code if the applicant reported the income prior to the return of the clearance or if you are rejecting the case for non-RFI reason.	Cannot Accept
P05	RFI hit data does not affect eligibility – Use this code when you want to accept the case and your review of the social security, UIB and WRS data indicates that it had not effect on the case’s eligibility or benefit level.	Can Accept
P07	Income revealed by RFI budgeted – Use this code when the income (WRS, UIB, Social Security) was revealed first by RFI and you have confirmed and budgeted the income. If you learned about the income from the applicant first, use code P05 instead.	Can Accept
P08	Referred to FEDS/BFI – When you make a referral to BFI, always use resolution code P08 . Based on a response from BFI and other available eligibility information, you must either reject or accept the case and enter the appropriate resolution code on the screen. If no response is received from FEDS/BFI by the 25 th day from the application date and the case is otherwise eligible, use the P90 override code instead.	Cannot Accept
P90	Override RFI information – The Supervisor with a special ID# will use this to accept cases in emergency situations.	Can Accept

Attachment A (page 2)

System Generated Codes		
Code	Meaning	Case Result
S97	SSN verified.	Can Accept
S98	Individual in 'AP' status when a second hit was received.	Cannot Accept
S99	Individual active when hit received.	Can Accept