

469-000-300 VERIFICATION AND DOCUMENTATION GUIDE

Purpose of Verification and Documentation: When making of determination of eligibility, it is necessary for the worker to document how the determination was made. All points of eligibility must be considered. Certain elements require verification while others require only that they be considered when determining eligibility. Throughout the process, the worker must record pertinent facts establishing why and how a particular determination was made.

Verification is the process by which the worker establishes the accuracy of the client's declaration. This is usually accomplished by viewing documents, statements, or other pertinent materials which substantiate the client's statement.

Documentation is the process whereby the worker records facts pertaining to the verification process or means by which the worker establishes the point of eligibility or ineligibility.

Documentation consists of, but is not limited to, the following information:

1. A description of what is being verified or considered; i.e., checking account number 123 456 7, ABC Bank;
2. A description of the source and date of verification. In some cases, the worker may make a photocopy of the document for inclusion in the case record. In these cases, it is important to note on the application that a copy of the document is in the file. It may be helpful to date the document for easy reference. Example: "See bank statement from ABC Bank dated 4-10-06 in the case record. Worker received bank statement from ABC Bank on 4-12-06 for the period from 1-1-06 to 3-31-06";
3. For a resource, description of current ownership, i.e., Mary and/or John Jones; and
4. Current value, i.e., checking account balance \$5.12.

For every element of eligibility, the case record must contain an explanation of how a determination regarding that point was made. Generally, documentation is on the application. In some instances, it may be in the narrative.

In all cases the worker must use the prudent person principle in determining whether to use more than the minimum verifications. If the worker doubts the validity of a particular verification, s/he should investigate further.

I. Basic Program Requirements

The following is a listing of some of the most common verification sources. There may be other acceptable sources that are not listed here.

A. Age and School Attendance

1. Age: The birth certificate is the primary verification of age. If a birth certificate is not available, use other sources of verification.

Primary Sources

- a. Birth certificate;
- b. Adoption papers or records;
- c. Hospital or clinic birth records;
- d. Church records;
- e. Baptismal certificate recorded before age five;
- f. Bureau of Vital Statistics;
- g. U.S. Passport; Immigration or Naturalization Papers; or
- h. Indian census records.

Secondary Sources

- a. School records;
- b. Census records;
- c. Family Bible records (birth records);
- d. Court support order;
- e. Physician's statement or records;
- f. Juvenile court records;
- g. Child welfare records;
- h. Voluntary social service agency records;
- i. Insurance policy or insurance company records;
- j. Minister's signed statement or church records;
- k. Affidavits;
- l. Military service record;
- m. Driver's license; or
- n. Midwife's record of birth.

2. School Attendance

Primary Source: School authorities

Secondary Sources

- a. Current report cards;
- b. Correspondence to the client from school authorities;
- c. Correspondence from scholarship boards or sources; or
- d. Signed statement(s) from an individual(s) who has knowledge of school attendance.

B. Relationship

1. Specified Relative

Primary Sources

- a. Birth certificate;
- b. Adoption records;
- c. Bureau of Vital Statistics forms;
- d. Court order records;
- e. Indian census records;

- f. Marriage licenses;
- g. Divorce papers; or
- h. Court records of parentage.

Secondary Sources

- a. Hospital or clinical records;
 - b. Church records;
 - c. Social service and welfare records;
 - d. Family bible records;
 - e. Child support orders;
 - f. A signed statement(s) from an individual(s) who has knowledge of the relationship;
 - g. Baptismal records;
 - h. U.S. passport; or
 - i. Signed paternity acknowledgement.
2. Marital Status

Primary Sources

- a. Marriage license;
- b. Divorce papers; or
- c. Separation papers.

Secondary Sources

- a. Local judicial records;
- b. Social Security Administration; or
- c. A signed statement(s) from an individual(s) who has knowledge of the situation.

C. Citizenship: See also 468-000-301, 469-000-301, 477-000-301

A primary source must be sought before looking to the secondary or other lower level sources. The Center for Medicare and Medicaid has issued the following acceptable verifications for citizenship and identity.

Primary Sources

- 1. U.S. passport;
- 2. Certificate of Naturalization (DHS Forms N-550 or N-570);
- 3. Certificate of U.S. Citizenship (DHS Forms N-560 or N-561);
- 4. Receipt of Supplemental Security Income (SSI) as shown on SDX interface;
- 5. Receipt of Social Security Disability Insurance (SSDI) as shown on BDE interface;
- 6. Documentation of child receiving foster care or adoption assistance payments under Title IV-B or IV-E;
- 7. Eligibility of a newborn for Medicaid in the month of his/her birth;
- 8. Entitlement to or enrollment in Medicare as shown on BDE interface;
- 9. A document issued by a federally recognized Indian Tribe evidencing membership, enrollment in, or affiliation with such tribe. The document must identify the federally recognized Indian Tribe which issued it, identify the individual by name, and confirm the individual's membership, enrollment in, or affiliation with that Tribe. Some examples include Tribal enrollment and membership cards, a certificate of degree of Indian blood issued by the Bureau of Indian Affairs, a Tribal census document, or a document issued by a Tribe indicating an individual's affiliation with the Tribe.

Secondary Sources

1. Birth certificate;
2. Certificate of birth issued by the Department of State (Form DS-1350);
3. Report of Birth Abroad of a U.S. Citizen (Form FS-240);
4. Certification of Birth Abroad (FS-545);
5. U.S. Citizen I.D. card (DHS Form I-197);
6. An American Indian Card issued by the Department of Homeland Security with the classification code "KIC." (Issued by DHS to identify U.S. citizen members of the Texas Band of Kickapoos living near the U.S./Mexican border);
7. Final adoption decree;
8. Evidence of civil service employment by the U.S. government before June 1976;
9. Official military record of service showing a U.S. place of birth;
10. Northern Mariana Identification Card. (Issued by the INS to a collectively naturalized citizen of the United State who was born in the Northern Mariana Islands before November 4, 1986.

Sources of Third Level Documentation

1. Extract of U.S. hospital record of birth established at the time of the person's birth and created at least 5 years before the initial application date and indicates a U.S. place of birth;
2. Life or health or other insurance record showing a U.S. place of birth and created at least 5 years before the initial application date.

Sources of Fourth Level Documentation

1. Federal or state census record showing U.S. citizenship or a U.S. place of birth;
2. Institutional admission papers from a nursing home, skilled nursing care facility or other institution and created at least 5 years before the initial application date and indicates a U.S. place of birth;
3. Medical (clinic, doctor, or hospital) record and created at least 5 years before the initial application date and indicates a U.S. place of birth unless the application is for a child under 5;
4. Other document that was created at least 5 years before the application for Medicaid. These documents are Seneca Indian tribal census record, Bureau of Indian Affairs tribal census records of the Navaho Indians, U.S. State Vital Statistics official notification of birth registration, an amended U.S. public birth record that is amended more than 5 years after the person's birth or a statement signed by the physician or midwife who was in attendance at the time of birth;
5. Written affidavit.

Note: Written affidavits may be used only in rare circumstances when the state is unable to secure evidence of citizenship from another listing. The affidavits must be supplied by at least two individuals, one of whom is not related to the applicant or recipient. Each must attest to having personal knowledge of the event(s) establishing the applicant's or recipient's claim of citizenship. The individuals making the affidavit must be able to prove their own citizenship and identity for the affidavit to be accepted. Those making affidavits will be subject to prosecution for perjury. If the person claiming knowledge of another's citizenship has information which explains

why documentary evidence establishing the applicant's claim of citizenship does not exist or cannot be readily obtained, the affidavit should contain this information as well. A second affidavit from the applicant/recipient or other knowledgeable individual explaining why documentary evidence does not exist or cannot be readily obtained must also be requested.

D. Identity

1. U.S. passport;
2. Certification of Naturalization (DHS Forms N-550 or N-570);
3. Certificate of U.S. citizenship (DHS Forms N-560 or N-561);
4. Receipt of Supplemental Security Income (SSI) as shown on SDX interface;
5. Receipt of Social Security Disability Insurance (SSDI) as shown on BDE interface;
6. Documentation of child receiving foster care or adoption assistance payments under Title IV-B or IV-E;
7. Eligibility of a newborn for Medicaid in the month of his/her birth;
8. Entitlement to or enrollment in Medicare as shown on BDE interface;
9. Certificate of Indian Blood, or other U.S. American Indian/Alaska Native tribal document;
10. Any identity document described in section 274A(b)(1)(D) of the Immigration and Nationality Act to include:
 - a. Driver's license issued by a U.S. State or Territory either with a photograph of the individual or other identifying information such as name, age, sex, race, height, weight, or eye color;
 - b. School identification card with a photograph of the individual;
 - c. U.S. military card or draft record;
 - d. Identification card issued by the federal, state, or local government with the same information included on driver's licenses such as name, age, sex, race, height, weight, or eye color;
 - e. Military dependent's identification card;
 - f. Native American Tribal document;
 - g. U.S. Coast Guard Merchant Mariner card;
11. School record that shows date and place of birth and parent(s)' name;
12. Clinic, doctor or hospital record showing date of birth;
13. Day care or nursery school record showing date and place of birth;
14. Religious record (cradle roll, naming certificate, baptismal record, Amish or Mennonite bishop's letter);
15. Life/health insurance policy for the child showing in addition to the child's name, the child's age or date of birth.

Note: For children under 16, school records may include nursery or day care records. If none of the above documents in the preceding charts are available, an affidavit may be used. An affidavit is only acceptable if it is signed under penalty of perjury by a parent or guardian stating the date and place of the birth of the child and cannot be used if an affidavit for citizenship was provided. The parent's signature on the DHHS application for assistance meets the requirement for this affidavit.

E. Current Address

Primary Sources

1. Rent or mortgage receipt, lease, agreement, etc.;
2. A signed statement(s) from a landlord;
3. Property ownership records;
4. Signed statement from an employer.

Secondary Sources

1. A current driver's license;
2. Utility bills;
3. Verification of vehicle registration from Department of Motor Vehicles;
4. Telephone directory;
5. County assessor records;
6. Post Office records;
7. City directory;
8. Church or synagogue records;
9. Utility company records; or
10. A signed statement from an individual(s) who has knowledge of the situation.

F. Household Composition

Primary Source for a School Age Child: Current school record showing address of the child and name of relative responsible for the child.

Primary Source for a Pre-School Child: Visual observation of the child in the home, plus corroborating evidence from at least one additional secondary source.

Secondary Sources

1. A current driver's license;
2. Utility bills;
3. Verification of vehicle registration from Department of Motor Vehicles;
4. Telephone directory;
5. County assessor records;
6. Post Office records;
7. City directory;
8. Church or synagogue records;
9. Utility company records; or
10. A signed statement from an individual(s) who has knowledge of the situation.

Secondary Sources

1. Hospital, clinic, Health Department, or private physician's records;
2. Child care provider or day care center records;
3. Court support order;
4. Juvenile court records;
5. Child welfare records;
6. Clergy's statement;
7. Signed statement from an individual(s) who has knowledge of the situation;
8. Visual observation of the individual in the home;
9. Landlord's statement;
10. Contributions to the household budget; or
11. Contact with public housing authority.

G. Pregnancy

Primary Source: Proof of pregnancy must be medically verified. Verification may be provided by a physician or another licensed medical professional who verifies pregnancy for programs such as Maternal Health, WIC, Family Planning, or presumptive eligibility (on Form DSS-68). Licensed medical professionals may include but are not limited to -

1. Physicians;
2. Nurse practitioners;
3. Physician assistants;
4. Nurse midwives;
5. Qualified providers (for presumptive eligibility determinations); or
6. Other, with approval of the Central Office.

The verification statement must include the licensed medical professional's name, title, date completed, and expected due date.

H. Employability

I. Social Security Number

Primary Sources of Documentation for Case Record

1. Copy of the Social Security card or documentation that the worker has viewed the card;
2. Signed copy of Form SS-5;
3. Copy of a birth certificate with permission checked to provide Social Security Administration with information for a Social Security card;
4. Form SSA-2853 with the name of the newborn, and a signature and date by an authorized hospital official;
5. Medicare card with a claim number with a suffix "A"; or
6. Dated documentation from SSA that an application for an SSN has been made.

J. Categorical Deprivation for ADC

1. Death:

Primary Sources

- a. Death certificate;
- b. Bureau of Vital Statistics records;
- c. Widow's or survivor's benefits on the deceased parent's SSN, or SSA records;
- d. VA or military service records of widow's or survivor's benefits;
- e. Social Security or Veteran's Administration records or benefit/death payment correspondence;
- f. Hospital records;
- g. Signed funeral director's statement;
- h. Indian census records;
- i. Newspaper death notice; or
- j. Insurance company records or death settlement correspondence.

Secondary Sources

- a. Institutional records;
- b. Public assistance records;
- c. Lodge, club, or fraternal organization records;
- d. Police records;
- e. Case record and burial payment file;
- f. Clergy statement; or
- g. In memoriam card.

2. Incapacity:

Primary Sources

- a. Disability certification by State Review Team;
 - b. Medical or disability records; examination report; a signed medical statement or records from a licensed physician; or
 - c. Receipt of SSI or RSDI benefits for disability or blindness.
3. Continued Absence: Continued absence in most instances is best documented by evidence which shows the current address of the absent parent as different from the address of the unit.

Primary Sources

- a. Divorce papers;
- b. Military papers or induction notice;
- c. Separation papers;
- d. Annulment papers;
- e. Correctional institution records;
- f. Probation office records; or
- g. Court records.

Secondary Sources

- a. Contact with absent parent;
- b. Shelter record of absent parent, e.g., lease, rent receipts, etc.;
- c. Telephone or city directories;
- d. Post Office record of address;
- e. Motor vehicle registration;
- f. Driver's license;
- g. Unemployment compensation records;
- h. Union records;
- i. Law enforcement official's records;
- j. Public assistance records;
- k. Voter registration records;
- l. Statements from reputable services in community;
- m. Employment security records;
- n. Employer's records; or
- o. A signed statement from an individual(s) who has knowledge of the situation.

Note: If continued absence is verified with a telephone or city directory, Post Office record of address, or motor vehicle registration, the worker shall also obtain a second source of verification.

4. Work Quarters for ADC-UP:

Primary Sources

- a. Contact with current or prior employer and/or payroll slips;
- b. Unemployment compensation payment;
- c. Company layoff notice;
- d. Work or training program records; or
- e. State Employer Wage (SEW) file.

K. Resources: Verify those resources declared by the client or appearing on the Internal Revenue Service (IRS) file. Also consider the possibility of ownership of resources that are not declared. Review the past record. If there are resources listed, determine if they are still available.

1. Liquid Assets: Determine if any client owns or has legal access to any liquid assets. These resources may be jointly owned or held by another individual for the beneficiary.

If the client declares any of these resources, document a description of the resource, terms of ownership, location, and the value. If the client declares a bank account, document the name and address of the financial institution, the type of account, terms of ownership, account number, and current balance. Contact with the bank may be necessary to determine the current balance and to determine if the client has any additional accounts or access to any. If the client denies ownership of any bank accounts, inquire as to where the client cashes his/her assistance checks, or what banks were used for past transactions as a means of determining whether other accounts exist. Using prudent person principle, you may want to contact these institutions to verify that current accounts do not exist.

Primary Sources

- a. Current bank statement;
- b. Agency contact with the financial institution;
- c. Financial document;
- d. Visual observation; or
- e. Current automatic teller receipt.

Secondary Sources

- a. Guardian or conservator's report;
- b. Bank book; or
- c. Signed statement from the resource owner (for a jointly owned resource).

2. Non-Liquid Assets: Determine if any client owns, or has legal access to any non-liquid assets.

Criteria for investigation may include past information in the case record or information from collateral sources to suggest property ownership, past residence in other areas, or patterns of property ownership.

Primary Sources

- a. Deed;
- b. Sales agreement;
- c. Mortgage;
- d. Courthouse records;
- e. Real estate tax receipts;
- f. Income tax return;
- g. Tax assessment; or
- h. Assessment from the Land Record Office.

Secondary Sources

- a. Estate data;
 - b. Tax records;
 - c. Real Estate Tax Triangle;
 - d. Title search;
 - e. Municipal building inspection compliance records;
 - f. City directory; or
 - g. Signed statement from the owner (for a jointly owned resource).
3. Vehicles: Document the terms of ownership, purchase price, current value, encumbrances against the vehicle, and the name and address of the organization financing the vehicle.

You may use the N.A.D.A. Used Car Guide to obtain the value or may contact car dealers who can provide the approximate value based on the make, year, model, and number of cylinders. You may examine the registration card and obtain the name of the registered owner, and make, model, style, year, and number of cylinders of the car.

Primary Sources

- a. Nebraska Department of Motor Vehicles;
- b. County, city, or other local government agency;
- c. Car title;
- d. Car dealers; or
- e. N.A.D.A. Used Car Guide.

Secondary Sources

- a. Auto financing data; or
- b. Signed statement from an owner (for a jointly owned vehicle).

4. Life Insurance: It is necessary to verify pertinent information regarding life insurance through examination of the policy(s), records in possession of the beneficiary, or statements from the issuing company.

Obtain the following information: name and address of the insurance company, date of issue, policy number, ownership, beneficiary, face value, cash surrender value, the value of any loans against the policy(s), and dividend information.

Primary Sources

- a. Insurance company or agent; or
- b. Insurance policies.

Secondary Sources

- a. Lodge, club, and fraternal organizational records;
- b. Union records;
- c. Veteran's Administration records;
- d. Employer's insurance records;
- e. Funeral directors; or
- f. Relatives or friends holding policies for beneficiaries.

- L. Income: Verify income declared by the client or appearing on SEW and evaluate the possibility of additional income. Also consider potential income for which the client may be eligible.

Note: Take into account the \$300 tolerance level before verifying income appearing on SEW.

1. Earned Income: Verify the employment status (full time, part time, or temporary), name of the employer, and the gross amount and frequency of the earnings.

Primary Sources

- a. Paystubs;
- b. Employer's wage records; or
- c. A statement from the employer.

Secondary Sources

- a. Employee's W-2 form;
- b. Job Service records;
- c. Income tax records;
- d. State form for clearance of earnings from employment;
- e. State unemployment records; or
- f. Mortgage loan information.

- M. Self-Employment: Verify the amount of income as well as the allowable expenses directly related to producing the goods and services. Personal expenses such as lunches and transportation are not classified as business expenses.

Primary Sources

1. Income tax return;
2. Self-employment bookkeeping records;
3. Sales and expenditure records;
4. State income tax bureau; or
5. Business expense receipts.

Secondary Source: Statement from the client of estimated earnings

- N. Unearned Income: Explore all potential sources of unearned income. When the client states s/he does not receive a benefit, evaluate this in terms of the client's background, marital history, past work history, and present circumstances. For example, a review of the client's employment history may indicate a possible eligibility for unemployment compensation, a company retirement pension, or benefits from past union membership.

1. RSDI Benefits: Verify the amount of RSDI benefits and evaluate the existence of RSDI as potential income.

A routine check should be made in all cases where a child is deprived of parental support because of death or incapacity, or when a client is retired, disabled, widowed, or divorced.

Primary Sources

- a. RSDI benefit payment check;
 - b. Recent RSDI award letter or other correspondence from SSA;
 - c. BENDEX or SDX file; or
 - d. Form SSA-1610 or other contact with SSA.
2. Veteran's Benefits: Verify the amount of VA benefits and evaluate the existence of VA as potential income. Explore the client's and spouse's background and past military service record.

Primary Source

- a. VA check;
- b. VA award letter or other written correspondence;
- c. Other contact from VA; or
- d. SDX file.

3. SSI: If any person is aged, blind, or disabled, explore the client's eligibility for SSI benefits. Verify the amount of the benefit.

Primary Sources

- a. Current award letter or other correspondence;
 - b. Recent SSI check;
 - c. SDX file; or
 - d. Form SSA-1610 or other contact.
4. Unemployment Compensation: Verify the amount of unemployment compensation received. Explore the client's background, past work history, and recent employment to determine eligibility for unemployment compensation.

Primary Sources

- a. Unemployment compensation award letter;
 - b. Unemployment compensation check;
 - c. Correspondence from unemployment compensation office; or
 - d. SEW file.
5. Worker's Compensation: Verify receipt, continuation of, and amount of worker's compensation. Examine the client's past work history and present circumstances, especially if the client is disabled, to determine eligibility for or receipt of worker's compensation.

Primary Sources

- a. Worker's compensation award notice;
 - b. Worker's compensation payment check; or
 - c. Worker's compensation office correspondence.
6. Other Unearned Income: Verify the receipt and amount of pensions, benefits, annuities, child support, etc. Explore the potential for other income by evaluating the client's background, past work history, and present circumstances.

Primary Sources

- a. Current award letter;
- b. Current benefit check;
- c. Correspondence;
- d. Contact with the agency;
- e. Court records; or
- f. Computer printouts.

Secondary Sources

- a. Past award letter; or
- b. Copies of past checks.

7. Contributions and In-Kind Income: Verify any in-kind income and contributions to which a money value is given. Verify the source and the amount. Verification consists of the name and address of the source of payment. Contact the source to verify the amount and frequency of the payment.

Primary Sources

- a. Contribution check;
- b. Statement from the person making a contribution;
- c. Cancelled checks of the person making a contribution; or
- d. Receipt for the contribution.

Secondary Sources

- a. Client's statement of receipt; or
 - b. A signed statement from an individual(s) who has knowledge of the situation.
8. Deemed Income: Determine and document whether deeming is appropriate. Verify the amounts of earned and unearned income and allowable deductions.

Primary Sources

- a. Receipts of unearned income, e.g., award letter or benefit check;
- b. Receipts of earned income, e.g., paystubs or employer records;
- c. Immigration and Naturalization Service records;
- d. Correspondence from INS; or
- e. Receipts verifying income deductions.

Secondary Sources

- a. Statement from client; or
 - b. A signed statement from an individual(s) who has knowledge of the situation.
9. Educational Grants, Scholarships, Loans: Verify -
 - a. The contract or the originator of the grant, loan, or scholarship;
 - b. If the grant, loan, or scholarship may be used for current living costs; and
 - c. If the grant, loan, or scholarship is for educational purposes and insured under any program administered by the Department of Education.

Primary Sources

- (1) Financial institution;
- (2) Written correspondence from the originator;
- (3) Grant, loan, or scholarship receipt; or
- (4) Receipts.

Secondary Sources

- (1) Statement from the client; or
- (2) A signed statement from an individual(s) who has knowledge of the situation.

II. Basic Budgetary Allowance

A. Medical Deductions: Verify medical insurance policies and document the following:

1. Name and address of insurance company;
2. Type of coverage;
3. Policy number;
4. Premium amount;
5. Effective dates of coverage; and
6. Policy owner and individual(s) covered.

Primary Sources

- a. The policy;
- b. Contact with the insurance company;
- c. Premium notice;
- d. Contact with the employer;
- e. Contact with the policy owner, if other than the client; or
- f. Cancelled checks for health insurance premiums.