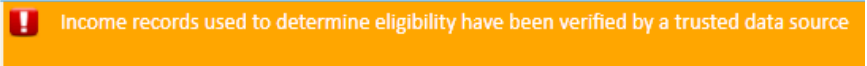


PERM Eligibility: Case Review Documentation Requirements Table

The Eligibility Review Contractor (ERC) will be conducting case reviews on behalf of the state for PERM Eligibility. The ERC will review the state’s eligibility determinations and redeterminations to see if the state followed federal and state eligibility policies and processes. In order to support the case review, the state must provide the ERC access to the state’s eligibility system(s) through either remote or onsite access so that they can collect and review the documentation. Remote access is preferred and recommended to reduce state burden. In some cases, additional documentation may need to be provided to the ERC by the state. The documentation that will be provided will differ by state depending on the state’s eligibility policies and verification plan. The following tables provide detail on what documentation must be provided to the ERC during the review process.

Overall Documentation Requirements

Documentation	Audit Trail for Reviewers	Questions for State
<p>Signed Application / Redetermination Form</p>	<p>What PERM needs to see: The original initial application must be provided to the PERM reviewer. The original pre-populated renewal form must be provided for beneficiaries whom the state could not renew via an ex parte or passive renewal process. The original application or redetermination form, if applicable, may be electronic or hard copy, but should include a record of the information the applicant submitted and the applicant’s signature.</p> <p>The type of documentation that must be maintained to verify the signature varies by the channel of the application. These channels are specified below:</p> <ol style="list-style-type: none"> 1. <i>If a paper application/redetermination form was filed:</i> A paper application/redetermination form must be signed under penalty of perjury with a handwritten signature. 2. <i>If a fax application/redetermination form was filed:</i> A fax application/redetermination form must be signed under penalty of perjury with a handwritten signature. 3. <i>If an electronic application/redetermination form was filed:</i> An electronic application/redetermination form must be signed under penalty of perjury with an electronic signature. <p style="color: blue;">An example of an electronic signature:</p> <p>✓ By checking this box and typing my name below, I am electronically signing my application.</p> <p>Person’s Name Date</p> <ol style="list-style-type: none"> 4. <i>If a phone application/redetermination form was filed:</i> A phone application/redetermination form must be signed under penalty of perjury with a telephonically recorded signature. The 	<ul style="list-style-type: none"> • How are original applications/redetermination forms maintained in your state? How will they be made available to the PERM reviewers? • For each type (e.g., paper, electronic) and channel (e.g., in-person, online, phone) of application, how are signatures maintained in your state? How will they be made available to PERM reviewers?

Documentation	Audit Trail for Reviewers	Questions for State																
	<p>audio file or written transcript documenting the telephonically recorded signatures must be provided to PERM reviewers. The ERC must be able to listen to the recorded signature.</p> <p>Signatures and redetermination forms are not required on passive or ex parte renewals.</p>																	
<p>Electronic Verification</p>	<p>What PERM needs to see: If the state used electronic verification to verify the element there should be an indicator in the eligibility system showing that the eligibility element was verified, including the result of the verification.</p> <p><i>Notes: States may not use electronic verifications for the elements listed below in all instances. Further, some of the elements in the examples are not verified at redetermination. For system indicators to be acceptable, they must be automatically generated. Indicators manually updated are not acceptable proof of electronic verification.</i></p> <p><u>Examples of acceptable indicators within an eligibility system:</u></p> <ol style="list-style-type: none"> The state’s eligibility system displays information that the electronic data match occurred. An example of a display:  The state’s eligibility system contains a separate verification page for each eligibility decision. The verification page lists the verification element and the verification status. An example of a verification page with pass/fail status: <table border="1" data-bbox="478 945 1024 1133"> <thead> <tr> <th>Verification Element</th> <th>Verification Status</th> </tr> </thead> <tbody> <tr> <td>Citizenship</td> <td>Pass</td> </tr> <tr> <td>SSN</td> <td>Pass</td> </tr> <tr> <td>Income</td> <td>Fail</td> </tr> </tbody> </table> <p>An example of a verification page with verified/not verified status: <table border="1" data-bbox="478 1188 1024 1385"> <thead> <tr> <th>Verification Element</th> <th>Verification Status</th> </tr> </thead> <tbody> <tr> <td>Citizenship</td> <td>Verified</td> </tr> <tr> <td>SSN</td> <td>Verified</td> </tr> <tr> <td>Income</td> <td>Not verified</td> </tr> </tbody> </table> </p>	Verification Element	Verification Status	Citizenship	Pass	SSN	Pass	Income	Fail	Verification Element	Verification Status	Citizenship	Verified	SSN	Verified	Income	Not verified	<ul style="list-style-type: none"> Does the state have indicators in your eligibility system for all electronic verifications? If not, how does the state know that the electronic verification occurred and showed that the client was eligible? How will PERM reviewers be able to determine that the electronic verification is related to the action under review? Please describe what indicators will be available in the state system for each element of eligibility listed in this table.
Verification Element	Verification Status																	
Citizenship	Pass																	
SSN	Pass																	
Income	Fail																	
Verification Element	Verification Status																	
Citizenship	Verified																	
SSN	Verified																	
Income	Not verified																	

Documentation	Audit Trail for Reviewers	Questions for State																												
	<p>3. The state's eligibility system contains a check box where a check appears when a data match occurred.</p> <p>An example of a check box:</p> <p>Citizenship / Identity validated by SSA? <input checked="" type="checkbox"/></p> <p>4. The state's eligibility system provides more detailed information related to the electronic data match.</p> <p>Examples of indicators that contain detailed information about the electronic data match:</p> <p>Verification Information for ID=SOM1HUB104170729SSA</p> <table border="1"> <thead> <tr> <th>Indicator</th> <th>Category Code</th> <th>Response Code</th> <th>Authority Name</th> <th>Authority Alpha Code</th> <th>Date</th> <th>Verification Requesting System</th> </tr> </thead> <tbody> <tr> <td>✓</td> <td></td> <td>HS000000</td> <td></td> <td>SSA</td> <td>01/04/2016-05:07:29PM</td> <td>Exchange System Category Code State Code</td> </tr> </tbody> </table> <p>Verification Information for ID=DHSIncomeVerified</p> <table border="1"> <thead> <tr> <th>Indicator</th> <th>Category Code</th> <th>Response Code</th> <th>Authority Name</th> <th>Authority Alpha Code</th> <th>Date</th> <th>Verification Req System</th> </tr> </thead> <tbody> <tr> <td>✓</td> <td>CurrentIncome</td> <td>HS000000</td> <td></td> <td>State</td> <td>01/04/2016-09:23:52AM</td> <td>Exchange System Category Code MedicaidAgency</td> </tr> </tbody> </table>	Indicator	Category Code	Response Code	Authority Name	Authority Alpha Code	Date	Verification Requesting System	✓		HS000000		SSA	01/04/2016-05:07:29PM	Exchange System Category Code State Code	Indicator	Category Code	Response Code	Authority Name	Authority Alpha Code	Date	Verification Req System	✓	CurrentIncome	HS000000		State	01/04/2016-09:23:52AM	Exchange System Category Code MedicaidAgency	
Indicator	Category Code	Response Code	Authority Name	Authority Alpha Code	Date	Verification Requesting System																								
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✓	CurrentIncome	HS000000		State	01/04/2016-09:23:52AM	Exchange System Category Code MedicaidAgency																								
<p>Case Comments</p>	<p>What PERM needs to see: States may utilize case comments or caseworker narratives to document certain eligibility actions. The case comment should provide enough detail for the ERC to substantiate the action, if needed.</p> <p><u>Example of level of detail in case comments:</u></p> <p>The beneficiary (Name) called to update monthly income due to a new job. Current monthly income is now \$1000 as of [Date]. Earned income was verified by TALX on [Date]. Monthly income is \$1200. Reasonable compatibility check was done on [Date] using [electronic data source].</p>	<ul style="list-style-type: none"> Do case workers use case comments to document any eligibility actions? If so, which ones? What level of detail is provided in the case comments? 																												

Documentation Requirements for each Eligibility Criteria (Element)

Eligibility Criteria (Element)	Audit Trail for Reviewers	Questions for State
Citizenship	<p>What PERM needs to see: An indicator or hard copy documentation showing that citizenship or status as a U.S. national was appropriately verified at the time of initial determination. (Note: the ERC will not re-review citizenship verification for renewals unless there is indication that it was not completed previously.)</p> <p><i>If verified electronically:</i></p> <p>There must be an indicator in the eligibility system associated with the action under review showing that citizenship was verified per federal requirements.</p> <p><i>If verified in hard copy documentation:</i></p> <p>The state must have a record of the hard copy documentation used. Examples of allowable hard copy documentation include:</p> <ol style="list-style-type: none"> 1. U.S. Passport 2. Certificate of Naturalization 3. Certificate of U.S. Citizenship 4. A valid, State-issued driver's license, in some states 5. Birth Certificate 6. U.S. State Vital Statistics 	<ul style="list-style-type: none"> • What will reviewers see in your state? • What indicators are in your state's system for electronic verification of citizenship? Is the electronic data source used for verification shown? Is the result of the verification clear? • What hard copy documentation does your state accept? How is it maintained/stored? How can it be made available to reviewers?
Immigration Status/ Non-citizens	<p>What PERM needs to see: An indicator or hard copy documentation showing that immigration status was appropriately verified at the time of determination or redetermination.</p> <p><i>If verified electronically:</i></p> <p>There must be an indicator in the eligibility system associated with the action under review showing that immigration status was verified or a scanned copy of a Systematic Alien Verification for Entitlements (SAVE) Report may be maintained in the system.</p> <p><i>If verified in hard copy documentation:</i></p> <p>The state must have a record of the hard copy documentation used. Examples of allowable documentation (copies permitted) include:</p>	<ul style="list-style-type: none"> • What will reviewers see in your state? • What indicators are in your state's system for electronic verification? Is the electronic data source used for verification shown? Is the result of the verification clear? • What hard copy documentation does your state accept? How is it maintained/stored? How can

Eligibility Criteria (Element)	Audit Trail for Reviewers	Questions for State
	1. Permanent Resident Card 2. Refugee or Asylee documentation	it be made available to reviewers?
State Residency	<p><u>If self-attestation accepted:</u></p> <p>If self-attestation is accepted per the state’s verification plan, the state must produce a signed application or redetermination form, if applicable, with the client’s residency indicated on the form to verify self-attestation.</p> <p><u>If self-attestation not accepted:</u></p> <p><u>If verified electronically:</u></p> <p>There must be an indicator in the eligibility system associated with the action under review showing state residency was verified using third party sources. If the state’s verification plan identifies the sources that the state will use to verify residency, the indicator should show that those sources were used.</p> <p><u>If verified via hard copy documentation:</u></p> <p>The state must have a record of the hard copy documentation used. Examples of allowable hard copy documentation include:</p> <ol style="list-style-type: none"> 1. Property ownership records 2. Rent or mortgage receipt 3. Current state ID card or driver's license 4. Utility bills or bank statements from third party sources 5. Property tax receipts 	<ul style="list-style-type: none"> • Does your state accept self-attestation? • If so, is the self-attestation clearly available on the original application or redetermination form? • If not, what documentation is maintained to verify state residency? • What indicators are in your state’s system for electronic verification, if required, for state residency in your state? Is the electronic data source used for verification shown? Is the result of the verification clear? • What hard copy documentation does your state accept? How is it maintained? How can it be made available to reviewers?
Social Security Number	<p>What PERM needs to see: An indicator or hard copy documentation showing that social security number was appropriately verified at the time of determination or post determination if the state conducts post-enrollment verification.</p> <p><u>If verified electronically:</u></p> <p>There must be an indicator in the eligibility system associated with the action under review showing SSN was verified by the Social Security Administration.</p> <p><u>If verified via hard copy documentation:</u></p>	<ul style="list-style-type: none"> • What will reviewers see in your state? • What indicators are in your state’s system for electronic verification? Is the electronic data source used for verification shown? Is the result of the verification clear? • What hard copy documentation does your

Eligibility Criteria (Element)	Audit Trail for Reviewers	Questions for State
	<p>The state must have a record of the hard copy documentation used. Examples of allowable hard copy documentation include, but are not limited to:</p> <ol style="list-style-type: none"> 1. Social Security Card 2. W-2, 1099 or other tax forms issued to the individual 3. Proof that the issuance of the SSN is pending. 	<p>state accept? How is it maintained/stored? How can it be made available to reviewers?</p>
<p>Age/Date of Birth</p>	<p><u>If self-attestation accepted:</u></p> <p>If self-attestation is accepted per the state's verification plan, a signed application can be utilized to verify self-attestation.</p> <p><u>If self-attestation not accepted:</u></p> <p>There must be an indicator in the eligibility system associated with the action under review showing the date of birth was verified using third party sources. If the state's verification plan identifies the sources that the state will use to verify age/date of birth, the indicator should show that those sources were used. There are instances where age is verified electronically as part of social security and identification elements. (See Table 2 for electronic verification requirements.)</p> <p><u>If verified via hard copy documentation:</u></p> <p>The state must have a record of the hard copy documentation used. Examples of allowable hard copy documentation include:</p> <ol style="list-style-type: none"> 1. Birth Certificate 2. U.S. State Vital Statistics record 3. Hospital Birth Records 	<ul style="list-style-type: none"> • Does your state accept self-attestation? • If so, is this information clearly available on the application? • If not, what will reviewers see in your state? • What indicators are in your state's system for electronic verification? Is the electronic data source used for verification shown? Is the result of the verification clear? • What hard copy documentation does your state accept? How is it maintained/stored? How can it be made available to reviewers?
<p>Pregnancy</p>	<p>States must accept self-attestation for pregnancy. A signed application or redetermination form or other self-attested document where the client indicated pregnancy status can be used to verify self-attestation. Pregnancy self-attestation can also be documented by appropriately documented case notes.</p>	<ul style="list-style-type: none"> • Is this information clearly available on the application?
<p>Household Size</p>	<p><u>If self-attestation accepted:</u></p> <p>If self-attestation is accepted per the state's verification plan, a signed application or redetermination form can be utilized to verify self-attestation. Appropriately documented case notes are also an acceptable form of self-attestation.</p>	<ul style="list-style-type: none"> • Does your state accept self-attestation? • If so, is this information clearly available on the application? • If not, what will reviewers see in your state?

Eligibility Criteria (Element)	Audit Trail for Reviewers	Questions for State
	<p><u>If self-attestation not accepted:</u></p> <p><i>If verified electronically:</i></p> <p>There must be an indicator in the eligibility system associated with the action under review showing household size was verified as specified in the State’s verification plan.</p> <p><i>If verified via hard copy documentation:</i></p> <p>The state must provide the hard copy documentation used. Examples of allowable hard copy documentation include, but are not limited to:</p> <ol style="list-style-type: none"> 1. Birth certificates 2. Adoption papers or records 3. Marriage licenses 4. Divorce papers 5. Court records of parentage 	<ul style="list-style-type: none"> • What indicators are in your state’s system for electronic verification? Is the electronic data source used for verification shown? Is the result of the verification clear? • What hard copy documentation does your state accept? How is it maintained/stored? How can it be made available to reviewers?
<p>Blindness, Disability, Medical Eligibility/Level of Care)</p>	<p><u>If determined by State agency:</u></p> <p>The state must provide the state-specific Medical Review Team (MRT), or other authorized entity's approval form or a comparable eligibility screenshot that shows elements like approval, decision date, and other relevant information.</p> <p><u>If determined by the Social Security Administration:</u></p> <p>The state must provide PERM reviewers proof that the client is enrolled in the program for which the disability or blindness determination was determined.</p> <p>Examples include hard copy documentation or electronic proof of enrollment in the program for which disability or blindness was determined. Proof includes:</p> <ol style="list-style-type: none"> 1. Receipt of RSDI (benefits on the basis of disability) as of the date of service. 2. Receipt of SSI benefits based on disability or blindness as of the date of service. 	<ul style="list-style-type: none"> • Are you a 1634 state? • If so, how can reviewers see that the individual was enrolled in RSDI, SSI, etc.? • If not, where do you store blindness/disability determinations? Is it available in the case record? • How will medical eligibility/level of care documentation be made available to the reviewer?
<p>Earned and Unearned Income</p>	<p>What PERM needs to see: An indicator or hard copy documentation showing that earned and unearned income was appropriately verified.</p>	<ul style="list-style-type: none"> • Does your state verify income pre- or post-eligibility? • What will reviewers see in your state?

Eligibility Criteria (Element)	Audit Trail for Reviewers	Questions for State
	<p><i>If verified electronically:</i></p> <p>The state must provide the verification screen with the income amount and the dates associated with the amount, or a system generated indicator in the eligibility system associated with the action under review showing income was reasonably compatible using third party sources identified in the State's verification plan.</p> <p><i>If verified via hard copy documentation:</i></p> <p>The state must provide the hard copy documentation used for each income type or case notes indicating what documentation was used and the amounts that were indicated.</p> <p>Documentation must be available for each type of income including, but not limited to, the following:</p> <ul style="list-style-type: none"> • Wages and Salaries • Self-employment income • Retirement, Survivors, and Disability Insurance (RSDI) • Unemployment wages • Veteran's Benefits (non-MAGI) • Worker's Compensation Benefits (non-MAGI) • Child Support (non-MAGI) • Other Earned Income (tips, bonuses, commission, severance pay) • Other Unearned Income (rental income, pension income, trust income) 	<ul style="list-style-type: none"> • If your state is post-eligibility, what is the timeframe that the eligibility determination must be made? • Is there any situation where your state is not utilizing electronic data sources to verify income? • What indicators are in your state's system for electronic verification? Is the electronic data source used for verification shown? Is the result of the verification clear? • Are there any electronic verification sources that reviewers cannot have access to? • What hard copy documentation does your state accept? How is it maintained/stored? How can it be made available to reviewers? • Are there any types of income that are handled differently?
Resources/Assets (non-MAGI cases)	<p>What PERM needs to see: An indicator or hard copy documentation showing that resources/assets were appropriately verified, if applicable.</p> <p><i>If verified electronically:</i></p> <p>There must be an indicator, documentation from the asset verification system, or detailed case comments to indicate that electronic verification was performed.</p> <p><i>If verified via hard copy documentation:</i></p>	<ul style="list-style-type: none"> • What will reviewers see in your state? • Does your state have an Asset Verification System (AVS) or have plans to implement an AVS in the future? • What indicators are in your state's system for electronic verification? Is the electronic data source used for

Eligibility Criteria (Element)	Audit Trail for Reviewers	Questions for State
	<p>The state must provide the hard copy documentation used.</p> <p>Documentation must be available for each type of resource/asset including, but not limited to, the following:</p> <ul style="list-style-type: none"> • Bank Accounts/Financial Resources • Property • Vehicle • Trusts/Annuities • Life Insurance • Funeral/Burial Trusts/Plots 	<p>verification shown? Is the result of the verification clear?</p> <ul style="list-style-type: none"> • What hard copy documentation does your state accept? How is it maintained/stored? How can it be made available to reviewers? • Are there situations in which the state accepts self-attestation of resources for renewals?
<p>Third-party liability (TPL) (e.g. Private Health Insurance)</p>	<p>What PERM needs to see: An indicator or hard copy documentation showing that health insurance was appropriately verified, if applicable.</p> <p><u>If self-attestation accepted:</u></p> <p>If self-attestation is accepted per the state’s verification plan, a signed application or redetermination form can be utilized to verify self-attestation.</p> <p><u>If self-attestation not accepted:</u></p> <p><i>If verified electronically:</i></p> <p>There must be an indicator in the eligibility system or information specific to a health plan indicating the type of health coverage, the individuals covered, and the coverage period.</p> <p><i>If verified via hard copy documentation:</i></p> <p>The state must provide the hard copy documentation used.</p>	<ul style="list-style-type: none"> • How does your state verify health insurance when appropriate? • How does your state follow-up on discrepant information (e.g. client self-attests to not having TPL, however, wage verification documentation shows health insurance deductions)?

Other Documentation Requirements

Item	Audit Trail for Reviewers	Questions for State
Passive Renewals	<p>What PERM needs to see: If a passive renewal occurred, indicators showing that the eligibility system verified income and other eligibility elements that must be re-verified at renewal (refer to “Electronic Verification” row in “Overall Documentation Requirements” table above).</p> <p>Similar to initial applications and other redeterminations, the state must be able to show the eligibility system verified income and other required eligibility elements (e.g., indicator in the system) through electronic sources.</p>	<ul style="list-style-type: none"> • How can PERM reviewers identify passive renewals in your state? • What verification indicators will reviewers see in your state for passive renewals?
Tax Filer Status	<p>What PERM needs to see: The applicant reported being a tax filer. (Note: if there is not a tax filer status, the non-tax filer rules would apply)</p> <p>States must maintain evidence that all MAGI applicants were asked about their tax filing status (e.g., application), and all other documentation used to determine household composition in accordance with 43 CFR 435.603(f).</p>	<ul style="list-style-type: none"> • How does the state ask for tax filing status and how can this documentation be provided to the reviewers?
Reported Changes by Client	<p>What PERM needs to see: Documentation of any changes submitted by the client, including when the changes were communicated to the state, as well as how and when the state acted on the change, if required.</p>	<ul style="list-style-type: none"> • What will reviewers see in your state when a client reports changes? • How does your state document client-reported changes?
Title IV-E cases	<p>What PERM needs to see: Electronic or hard copy documentation showing that the individual was enrolled in Title IV-E benefits that entitles the beneficiary to Medicaid at the time of the date of service of the sampled claim.</p> <p>The state does not need to provide support for the underlying Title IV-E eligibility.</p> <p><u>Examples of Title IV-E documentation:</u></p> <ol style="list-style-type: none"> 1. State form providing information regarding the Title IV-E decision and the benefit period of Title IV-E and should document when the state received the form. 2. Screen prints of state system showing the client was receiving Title IV-E benefits. 	<ul style="list-style-type: none"> • What documentation can the state provide to the reviewers to show that the client was enrolled in Title IV-E?
Supplemental Security Income (SSI) Cases – 1634 states	<p>What PERM needs to see: If a state is a 1634 state, the state must provide proof that the individual was eligible for SSI as of the date of service of a sampled claim. The underlying eligibility of SSI will not be reviewed.</p> <p><u>Examples of documentation for SSI decisions of 1634 states:</u></p> <ol style="list-style-type: none"> 1. Screen prints of state system showing the client was receiving SSI benefits and when the state received notification of the decision made by SSA. 2. Data notification from SSA Beneficiary Data Exchange (BENDEX) system record 	<ul style="list-style-type: none"> • Is your state a 1634 state? • If yes, what documentation will your state be able to provide to the reviewers to show client enrollment in SSI?

Item	Audit Trail for Reviewers	Questions for State
Presumptive Eligibility by Qualified Entities	<p>What PERM needs to see: Documentation showing that the state received information from qualified entity to enroll the individual</p> <p><u>Presumptive eligibility documentation may include:</u></p> <ol style="list-style-type: none"> 1. Correspondence and notifications between the state and the qualified entity and when the state received the notification. 	<ul style="list-style-type: none"> • What presumptive eligibility documentation is sent to the state by the qualified entity? • How is the information stored in your state and how can it be provided to reviewers?
Cases from the Federally Facilitated Exchange (FFE)	<p>What PERM needs to see: The Account Transfer (AT) file or another document showing the information in the AT file. Determination and Assessment states will be asked to provide AT files to the ERC.</p> <p>The AT file will only be requested for FFM-A and FFM-D cases where the action under review is the determination made by the FFM or involved use of the FFM's assessment of the applicant's information.</p>	<ul style="list-style-type: none"> • In what format are the AT files maintained? • Who maintains the AT files in your state?