IRM PROCEDURAL UPDATE

DATE: 10/01/2013

NUMBER: WI-03-1013-1528

SUBJECT: RTS Drop Down Boxes for Document Type, Examples of ID for "other", School ID, and Processing Unsigned Passports

AFFECTED IRM(s)/SUBSECTION(s): 3.21.263

CHANGE(s):

IRM 3.21.263.5.3.4.2(3), Added that required information in a letter will make an incomplete report card/transcript complete.

3. The table below provides a general description of the 13 types of acceptable supporting identification documents.

Type of Document	Definition	Features
School Records	A school record is an official report card or transcript issued by the school or equivalent of a Ministry of Education and signed by the school or ministry official. School records are only acceptable for dependent applicants under the age of 18. **NOTE:** If the report card/transcript does not have all of the required information (school address, school or ministry signature, etc.) but an attached letter supplies the missing data, consider the school record valid.	The record must be dated and contain the student's name, course work with grades, date of grading period(s), and school name and address. If applicant is from a country other than Mexico, Canada, or India, a DOE is required and the school record must be from a U.S. facility. **EXCEPTION:** School records for applicants under the age of 6 do not have to be a transcript or report card showing the course work or grades. For example, a dated letter from a nursery school or kindergarten with the school name and address showing the 5 year old applicant attends is sufficient.

IRM 3.21.263.5.3.4.2.1(3), Re-phrased U.S. consul/embassy employees certifying foreign documents are valid certified documents.

3. Refer to the table below for details on the specific types of certification.

Certification	Description	Comments
Certified	Certified by the issuing agency (passports, birth certificates etc.) **NOTE:** Consulates or embassies for foreign countries have foreign diplomatic representatives stationed in the United States who can certify the authenticity of their own country's passports. **CAUTION:** Documents certified by the issuing agency are usually identified by a date indicating the document was issued after the date of registration.	This is the foreign agency that issues the ID. For most countries, national government agencies issued the ID and are the ones to certify it. **EXCEPTION:** German passports issued by city hall (Gemeinde, Staatsvervaltung or Ortsverwaltung) or the village administrator (Burgermeister) are valid. Review the stamps and seals on certified copies of passports to ensure that they are from the same city that issued the passport. French passports are issued by the authority of the regional government ("Prefect" or "Prefet") but processed locally in the town halls ("Mairie") Certified documents have a stamp and/or an ink seal (may or may not be raised) and require no further authentication. Faxes or photocopies of certified documents are not acceptable. Foreign documents certified by U.S. consul/embassy employees ar e valid certified documents. . U.S. Consul employees may certify the document itself or attach a separate authentication sheet (usually attached with an eyelet grommet). Examples of Consul authentication include Consul stamps, seals, ribbons, wafers, wax, and eyelet grommets. **NOTE:** The American Institute of Taiwan (AIT) has the same authority as a U.S. Consul. **CAUTION:** Photocopies or faxes of notarized documents of certified

W-7 Application Input Screen Content	Instruction
	documents are not acceptable. Faxed or E-mailed copies can not be certified. Authentication such as stamps, seals, ribbons, wafers, wax, and eyelet grommets must be original.

IRM 3.21.263.8.3.2.1 "Is the ID Valid?", Rephrased school records and updated processing unsigned passports.

1. Use the table below to input supporting identification documentation from Form W-7:

W-7 Application Input Screen Content	Instruction
Is the ID Valid?	Choose one of the following from the drop down box: o Yes, viewed documents o No, viewed documents **NOTE:** Always update the Remarks Screen with why the ID is invalid. **Select "Yes, viewed documents"** when no questionable features are identified and: o The valid document meets all documentation requirements, OR o A valid visa or signed passport is presented, OR o All review columns of the FA Document Action Sheet are marked "yes" or "n/a" o No questionable features are identified. o School records are an official report card or transcript issued by the school. See IRM 3.21.263.5.3.4.2. **EXCEPTION:** a school letter from a nursery or kindergarten is acceptable for children under the age of 6 and no transcript or grades are required. If a date of entry is required for the applicant, the school record must be from a U.S. facility.

CAUTION: If the ID is valid except for an expiration date which is in the past, select "Yes, viewed documents "and enter the expired date in the "Documentation Expiration Date" fields.

Select "No, viewed documents" when:

- o The document does not meet all documentation requirements, for example, translation needed, etc.
- o CAA sends copies of dependent ID

   REMINDER: Original or certified copies of ID is required for all dependents

- o School records are only a school letter without an official report card or transcript , or applicant is **age 18 or older**.
- o Medical or school records are not current
- o Medical records are a shot/immunization record that requires a provider identification letter and that letter is missing, or a provider letter is present but the shot/immunization record is missing, or applicant is **age 6 or older**.
- o The school or medical record is **NOT** from a U.S. facility, a date of entry is **NOT** present when required, and the applicant is from a country other than Mexico, Canada, or India.
- o The passport has a signature field but is not signed. Update the Remarks Screen with "passport not signed". Consider passports with no signature field (for example, Brazilian) or statements such as *"the holder is not required to sign"* (for example, a passport from the United Kingdom) as having met the signature requirement. Complete Form 14415 to return the passport and check "*The passport you sent does not meet IRS criteria*" box.

   NOTE: The same envelope can be used to return both non-questionable/non-W2 name mismatch issue ID and unsigned passports with Form 14415 when Form 14433 is enclosed and used to address the envelope.

EXCEPTION: Consider passports for children under 12

	years of age at date of Form W-7 signature as signed if they have a thumbprint or are unsigned. See IRM 3.21.263.5.3.4.

IRM 3.21.263.8.3.2.3(1) "Document Type", Added reminder that DSO/RO letters may contain SSA reject information; updated the" Other" section with examples.

1. Use the table below to input the exception documentation.

W-7 Application Input Screen Content	Instruction

Document Type	Choose one of the following from the drop down box:
	
	   o Form 8233
	   o SSA reject letter or DSO letter
	
	     REMINDER: SSA denial letter is not required for F-1, J-1, M-1 visa holders if DSO/RO letter states applicant will not be securing employment in the U.S. or receiving income from personal services. Select "SSA Reject letter " when the DSO/RO or SEVIS certificate states this. If only the award information is imbedded in the DSO/RO letter, select "Letter from Education Institute "and input in the Remarks Screen "SSA reject letter is missing."
	
	   o Loan commitment letter from a bank, a financial or lending institution
	   o Documentation of evidence of a home mortgage loan
	   o Documentation that applicant owns an asset that generates income that is subject to information reporting(IRP) or withholding(WH) requirements (i.e. from a bank, financial or lending institution statement)
	   o Employment letter
	   o Copy of Partnership agreement with EIN or evidence the partnership is conducting business in U.S.
	   o Form 8288 Series
	   o Copy of the contract of sale of real property
	   o Resident/Nonresident alien making estimated tax

	payment (applicant will not be issued ITIN until they file their tax return)
	
	   o Letter from Education Institute. Select this when the SSA denial information or reference to honoria payment is located within the letter from the DSO/RO. Also select SSA Reject letter when appropriate.
	   o Letter from Financial Institute
	   o Form W-8 series
	   o Form W-9
	   o Other Document Type
	
	Documentation submitted by the applicant will only be entered to the Exception/Evidence Substantiating Documentation window if it is documentation required to support the exception being claimed.
	
	EXCEPTION: if a visa or copy (copy does not have to be notarized/certified) of a visa is submitted as exception 2b or 2c documentation, enter as "original" under RTS Supporting Identification Documentation.

Other	Enter the description of *Other* when selected from the *Document Type* drop down box. Examples include the required SEVIS letter and any required attachments such as I-20, DS 2019, etc.