



FAMILY INDEPENDENCE ADMINISTRATION

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POLICY DIRECTIVE #05-14-OPE

(This Policy Directive Replaces PD #05-06-OPE)

CASE RECORD IMAGING

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| Date: April 28, 2005 | Subtopic(s): Case Record Imaging |
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AUDIENCE

The instructions in this policy directive are for staff at the Job Centers, Office of Central Processing (OCP) and NPA Food Stamp Centers (without scanning equipment), and are informational for all other staff.

REVISIONS TO DIRECTIVE

Attachment A – Required Documents/Forms for Case Record Imaging has been revised to reflect these changes.

In addition to the changes listed below, this procedure was further revised to eliminate the LESA and Fair Hearing implications, as they do not apply in this process.

- Add the Language Questionnaire (**W-680FF**) to the list of documents that must be sent for Day Forward Imaging (listed in Attachment A);
- Include a clarification regarding the imaging of forms issued in both English and another language;
- Include a reminder that the PA/FS Budget Summary (**WINRO027**) and Absent Parent questionnaires (**M-384d** and **M-384K**) must be imaged;
- Include a reminder that domestic violence forms must not be imaged;
- Inform staff of the following clearance regarding IRS documents: IRS documents may not be imaged if they have been received through sources other than the applicant/participant, for example through a 1099 match or information on Resources File Integration (RFI). However, Workers may and should image any IRS documents that are voluntarily provided by applicants/participants to support or document an eligibility factor or issue;
- Include a clarification regarding active volumes;

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*

- List instructions for accessing the electronic case folder on the HRA Viewer in Attachment **B** of this procedure;
- Remove instructions regarding the Day Forward Imaging Report (**W-34H**), as this form and related process are now obsolete; and
- Add new instruction regarding the labeling of boxes prepared for Day Forward Imaging.

BACKGROUND

Case record imaging captures all information from required paper documents and saves it in electronic case folders. This process eliminates the need for paper case records and greatly reduces the space they occupy in file cabinets, desks and stockrooms.

Vendor

Affiliated Computer Services is the vendor contracted to image paper case records. Once imaged, all records are available for viewing by authorized staff through the HRA Viewer. The HRA Viewer is the agency-approved software application used to retrieve electronic case records through a personal computer. Case Record Imaging Liaisons have been selected and trained in the use of the HRA viewer in order to facilitate the transition between imaged and nonimaged cases.

Imaging Process

The imaging is done at the vendor's facility in Montgomeryville, PA. Once the case records are imaged, they are shrink-wrapped and stored (40–50 per box depending on size). The number of forms and documents requiring imaging is substantial and a list of the most necessary forms and documents are outlined in Attachment **A**.

The imaged paper case record is held indefinitely, as long as it remains active. If a case record is needed while it is being imaged, the Center Director can request the case record from the Electronic Imaging Project at 250 Church Street, New York, NY, which in turn requests the record from the imaging vendor. If the case closes, it is retained for seven years at Bush Terminal in accordance with HRA's record retention policy.

Case record imaging is carried out in two separate phases: Back File Imaging and Day Forward Imaging. Active paper case records are imaged during the Back File Imaging phase. When the Back File Imaging process has been completed, the Center is moved into the Day Forward Imaging phase. In this phase the following case actions are sent for imaging: closing actions of a previously active case, application cases that are placed in single issue (SI) or accept (AC) status, and application cases that are closed (CL) or rejected (RJ). Active cases imaged in the Back File process that have new documents added to the case are also imaged in the Day Forward Imaging phase.

Phase One: Back File Imaging

Cases are prepped as follows:

- For active cases only, the most recent documentation dating back one year from the current date will be imaged based on a list of critical documents and forms specific to each program location. The one-year rule, however, does not apply to application/recertification forms or their supporting documentation. For these, the most recent application, regardless of date, will be imaged.
- Cases due for recertification are set aside until the recertification is complete. Once all recertification activity has been completed and processed, the case record is sent for imaging. Cases not completed in the time frame determined by the Center Director are turned over to the Imaging Liaison.

Time limit in viewing imaged cases

Imaged files will be available to the user on the HRA Viewer within 72 hours of the pickup date.

Bar coding

In addition all paper case records (including closed cases and active volumes) will be bar-coded and stored at Bush Terminal for a period specified by HRA (refer to PD #99-21R[2] for more information on case record retention). Paper case records closed fewer than nine months will be maintained in the Center until they have been closed for at least nine months, at which point they should be sent to Bush Terminal for bar coding and storage.

Note: For imaging purposes, “active volumes” refers to any folder which does not contain documents meeting FIA imaging guidelines. Active volumes are:

- folders containing documentation older than one year;
- folders where no permanent case record can be found for the household composition; and
- folders that do not contain recertification/application/identifying documents for the household and/or documentation for past year Agency activity, and a more recent folder cannot be located over to accompany the volume.

The bar coding of the case records will enable the vendor to make the paper case record easy to locate in the warehouse and produce upon request. The complete case record will be kept on file, as legally required, and upon request will be available for return for audit and/or litigation purposes. The vendor must adhere to current policy with regard to case record retention.

Every Center Director will be notified when his/her location is scheduled to begin the case record imaging process. This process is performed through the combined efforts of the location staff, management and the Imaging Team.

Phase Two: Day Forward Imaging

After all existing paper case records have been removed and imaged by the imaging vendor, the Center will enter Phase Two of the imaging process, known as Day Forward Imaging. This means that all new documentation that supports a case action will be placed in an envelope and picked up by the vendor for imaging on a weekly basis, thus to be added to the electronic case record.

If the Center Director considers the volume of cases/documents too great, s/he can arrange with the Imaging Project Manager for a second pickup. Once the Center receives scanning equipment or is made a POS Center, this process will not be necessary.

REQUIRED ACTION

Back File Imaging

Responsibilities of the Center Director

When the Imaging Project Manager notifies the Center Director of imaging efforts being implemented at his/her Center, the Center Director will be responsible for:

- Obtaining the current Caseload List of Active Participants (**WINRO340**), which lists the entire caseload assignment for the Center by Worker. The **WINRO340** is produced the next-to-last week of every month and sent to the Centers via the Print Distribution System (PDS) in Control.
- Forwarding the **WINRO340** to the Case Record Imaging Prepping Team. The Case Record Imaging Prepping Team will utilize the **WINRO340** to account for all active paper case records found and prepared for imaging.

- Ensuring that all cases due for recertification during the paper-to-image conversion period are pulled and made immediately available to the Worker.

Note: Cases scheduled for recertification are annotated on the **WINRO340** as Face to Face Recertification (FFR). After the FFR is completed, the record is returned to the Imaging Team, prepped and picked up by the vendor for imaging.

- Ensuring that any remaining closed paper case records (nine months or more) being sent for bar coding and archiving are counted and boxed and that each box is labeled indicating:
 - the Management Unit Code entered on the Stored Records Identification Label (**W-714**);
 - the number of case records in the box; that the box contains closed case records; and
 - that the paper case records are sorted and boxed according to closing year.
- Designating a Case Record Imaging Liaison to act as the contact person for vendor pickup and the HRA Imaging Unit. The Liaison will also be responsible for:
 - Preparing the Credit Memorandum (**W-722**) form to request the Bush Terminal vendor pick up boxes of closed paper case records. For detailed information regarding removal and storage of closed case records, refer to PD #99-21R(2);
 - Filling out a Back File Imaging Report (**W-34J**) to request a special Back File pickup of the paper case records; and
 - Faxing the form to the Imaging Project Manager at (212) 274-5921.
- Ensuring that during the initial imaging process, Back File and/or Day Forward cases awaiting vendor pickup are left in a secure, central location. This includes boxes of closed records awaiting pickup by the Bush Terminal vendor.

A Credit Memorandum (**W-722**) form must be prepared prior to vendor pickup of prepared closed case boxes

Responsibilities of the Imaging Prepping Team

Center management will be notified of the arrival of the Imaging Prepping Team at the Center and should have most of the items listed under “Responsibilities of the Center Director” in place by the time the team arrives. The Imaging Prepping Team is a group of workers assembled by HRA for the purpose of going from site to site to prepare all active records for imaging during the paper-to-electronic record conversion. The Imaging Prepping Team will receive guidelines on basic prepping rules to create a Back File Imaging folder from the Imaging Project Manager. The Imaging Prepping Team must adhere to these guidelines, outlined below:

- Obtain the **WINRO340** from the Center Director.
- Check the status of all cases in WMS (only the active paper case records will be imaged).
- Ensure that all volumes of a participant’s paper case record are combined, including employment, duplicate dummy folders, Jiggetts and Homeless Diversion Unit folders. (This process does not include Fair Hearing & Conference [FH&C] folders.)
 - Review original case records and pull the following documents:
 - From the original paper case record, the most recent Turn-Around Document (TAD) (**LDSS-3517**)
 - Most recent application, regardless of date, and all documents supporting the application
 - Most recent recertification and all supporting documents
 - The permanent documentation, regardless of date. These include:
 - Birth certificates/proof of identity for all case members
 - Photo identification
 - Passports/citizenship documents
 - Marriage/divorce/annulment certificates
 - Social Security card(s) or proof of SSN for all case members.
- Create a letter-size, 8½-by-11-inch, manila folder that will contain all documents abstracted from the original case record (as indicated above) that the vendor will image. (See Attachment A for documents that must be contained in the folder.) This paper folder must be bound to the original folder with rubber bands so that all documents are stored together. Legal-size documents must be folded and included in the letter-size folder.

Refer to Attachment **A** for a listing of required documents to be imaged.

Only the WMS budget printouts are included in the imaging folder.

- Ensure that WMS printouts are not included in the imaging folder, with the exception of the WMS budget printout (this is the only WMS printout to be included, since it is updated continually).
- Make sure that all documents for members of the same household are pulled for imaging and are all included under that case name and case number.
- Ensure that different document types that have been photocopied together on a single page are electronically copied individually for indexing in the correct electronic folder. For example, a passport should not be on the same page as a Social Security card. Same types of documents can be imaged on the same page. For example: all Social Security cards can be on one page, all rent receipts on one page, all passports on one page, etc.
- Annotate the **WINRO340** to indicate:
 - The date each case record was pulled;
 - The date the case records were packed; and
 - The date the boxes were picked up by the Imaging Vendor.
- Annotate on the Case Record Imaging Vendor Transmittal (**W-34K**) all case records prepped by the team and boxed for vendor pickup. One copy of the original transmittal must be enclosed in the box, another copy must go on the lid of the box, and the original transmittal must be kept by the Center for its records.

The Imaging Prepping Team Supervisor will submit a Back File Imaging Report (**W-34J**) on a weekly basis indicating the number of boxes and case records ready for vendor pickup

Responsibilities of the Center Staff

The JOS/Worker must ensure that the following protocol is adhered to when preparing cases for Back File Imaging:

Clarification

- All paper case records/folders are streamlined by recycling duplicate documents/forms.

Note: If a specific form was given to an applicant/participant in English as well as a language other than English, both versions of that form must be included in the case record.

- All staples and paper clips are removed.
- All forms and documentation in the case record/folder are annotated with the casehead's name, the complete 11-digit case number including the alpha, and the Client Identification Number (CIN).

Day Forwarding Imaging

Once the Center's records have been fully imaged, there will no longer be any closed paper case records in the Center, since new closing actions will be sent for Day Forward Imaging. The following describes the functions and responsibilities of Center staff for Day Forwarding Imaging.

- Review the electronic case record on the HRA Viewer prior to sending new documentation for imaging, in order to prevent duplication of existing documents.
- Have manual notices and supporting documentation copied and sent for imaging. The original documents are returned to the applicant/participant.
- Ensure that copies of all pending case actions along with the supporting documentation are held in a tickler file until all actions are completed and verified in WMS. The imaging case folder should contain the following:

Manual notices and supporting documents must be sent for imaging immediately after the clock-down period of the notice.

RFI information is not to be imaged (see PD #00-78R, Safeguarding IRS Information).

Do not image Domestic Violence-related forms.

Reminder

New information

- Copies of new documentation/forms/information regarding a participant and all newly processed applications containing verification of the acceptance or denial of an application. This includes history sheets (**W-25**), the Ledger Record for Food Stamp Authorization (**W-132B**), the Record of Special Grant Cancellation and Duplication (**W-674A**) and all supporting documentation used for the issuance of any emergency grants and the determination of eligibility.
- Photocopies or original documents/forms to be added to a participant's electronic case folder with the casehead's name, the complete 11-digit case number including the alpha, the individual's first and last name and CIN annotated on the upper right-hand corner of the documents and the Center's name and number annotated on the front of the folder. The documentation should be clear and legible and in blue or black ink.
- The PA/FS Budget Summary (**WINRO027**), whenever a new budget is authorized in WMS and/or calculated to determine overpayment or period(s) of ineligibility based on income.
- The Language Questionnaire (**W-680FF**).
- Absent Parent Questionnaires (**M-384K** and **M-384d**).

Related documents should be photocopied together to ensure correct electronic indexing.

All handwritten annotations, including history sheets, must be legible, dated and written in blue or black ink in order to produce quality images.

- Documents are grouped by commonality of information. For example: documents that provide verification of identity (birth certificates, driver's license, etc.) can be copied together. Documents that verify residence (rent receipt, letter from a primary tenant) can also be grouped and copied together.
- All forms prepared and placed in the participant's case record are complete and legible.
- All incoming mail and inter/intra-agency correspondence regarding a participant is reviewed for required action and/or placement in the Day Forward Imaging Bin.

The Center Director must ensure that:

- A Day Forward Imaging Bin is placed in a designated pickup area.
- A basket labeled "Documents for Imaging" is placed on each Unit Clerk's desk and the contents are forwarded to the Day Forward Imaging Bin regularly and in a timely manner.
- The contents of the Day Forward Imaging Bin are counted and boxed (up to three-quarters full) and each box is labeled "Day Forward Imaging" with the location and the number of folders/records in each box annotated on the front of the box.
- A vendor label is affixed to each box.

New information

Note: Center Directors are provided with the vendor labels. Additional labels can be obtained by contacting the Electronic Imaging Project Director at 250 Church Street, 6th floor, Room 6038, New York, NY 10013.

Imaging Process for Application Cases

Effective immediately, Job Centers and NPA Food Stamp Centers that are on Day Forward Imaging and receiving pickups from the imaging vendor or are performing their own on-site scanning should proceed with the following instructions for processing application cases:

Accepted Cases

Follow the Day Forward guidelines when preparing these records for pickup by the imaging vendor and for on-site scanning.

Center staff that work with application cases must not forward these documents for Day Forward Imaging or for on-site scanning until all determinations have been processed in WMS. Folders, along with the documentation, should be held in a tickler file until completed. Once a determination has been made on either the case or an individual on the case, the paper documents can be scanned or prepared for pickup by the imaging vendor. Please include the TAD in the folder and ensure that the correct case number and casehead are listed on the TAD.

Once an application has been accepted, the application and all supporting documents must be placed in a manila folder and placed in the Day Forward Imaging Bin.

Withdrawals

If the applicant elects to withdraw his/her application, the application and any document submitted cannot be imaged. Instead the application and documents must be held at the Center for six months then discarded per FIA guidelines.

Rejects/Closings

When an application case is rejected or closed:

- All documents related to the application must be placed in a manila folder and annotated with the applicant's name and application registration/case number.
- Each folder must be labeled "Reject" or "Closing" and placed in the Day Forward Imaging Bin.

Application cases that are rejected/closed are not stored in Imaged Centers; they will be available only on the HRA Viewer. Every Center Director must ensure that someone in the Application section has HRA Viewer training in case an applicant who has been rejected reapplies for assistance. To request HRA Viewer training or to request additional PCs be equipped with the HRA Viewer, Center Directors must contact the Electronic Imaging Project Director at (212) 274-5212.

Imaging of Undercare (Active) Cases

Closed Cases

When a case that has already been imaged closes, the documentation pertaining to the closing action must immediately be sent for imaging as part of the Day Forward process. This will ensure that the entire case record will be available on the HRA Viewer. The continual performance of this process will reduce and eventually eliminate the need to store/file closed cases.

Employment Activity

Staff responsible for initiating/monitoring employment activity should remember that all employment-related documents must be sent for Day Forward Imaging regardless of whether the Center is an Imaged Center. In Nonimaged Centers, pickup is arranged for employment-related documents only.

Transferring Cases

Individual Transfers Out

Transfer of case record from Imaged Center to another Imaged or to a Nonimaged Center

Center staff should create a memorandum titled “Transfer of Records” indicating the following information:

- Center transferred from and to (new Center)
- Case Number
- Case Name
- Date of Transfer
- The case record is imaged and can be seen on the HRA Viewer
- Location of the physical folder

A copy of the original memorandum should be placed in a manila folder and sent for imaging. The original memorandum must be sent to the new Center where the case will now reside. The Imaging Liaison at the new site should review the transferred folder on the HRA Viewer.

Mass-Transferred Out (MTO)

Mass Transfer from Nonimaged to Imaged Center

When cases are being transferred from a Nonimaged Center to an Imaged Center, the following process must be performed:

- The Regional Manager, the Consolidation Meeting Chairs and MIS will set the effective cycle of cases being imaged.

Note: Because of the time required to prepare cases that are being transferred from a Nonimaged Center to an Imaged Center, a four-week advance notice is needed to process these cases.

The Office of Support Services will only prepare cases for imaging if the total number of transferred cases is greater than 600.

- The Office of Support Services will pull the cases for imaging if the number exceeds 600 and will coordinate the transport, prepping and imaging of these cases with the Imaging Project Manager. If the number is less than 600 but more than 50, Center management must contact the Imaging Project Manager directly at (212) 274-5212 to coordinate the imaging of these cases.
- If the number of cases to be transferred is less than 50, the Center’s Imaging Liaison must prepare Back File folders for imaging and prepare and fax a Back File Imaging Report (**W-34J**) to the Imaging Project Unit at (212) 274-5921 for special vendor pickup, since these cases are originals and not Day Forward. This is done after the Back File folders have been prepared for imaging.

For assistance, information and guidelines for the preparation of Back File cases for imaging, please contact the Imaging Project Manager at (212) 274-5212.

Mass transfer from Imaged to Nonimaged Center

When a case is being transferred from an Imaged Center to a Nonimaged Center, it is processed in WMS. Once the case transfer has been processed, it will be assigned to a designated Worker (or more, if necessary) who has been trained to view the case on the HRA Viewer by the Imaging Liaison in the Job Center. When transferring NPA FS cases established as part of the automated separate determination process, follow the instructions outlined in PD #03-39-ELI.

Vendor Pickup Schedule

The imaging vendor makes pickups of Day Forward material according to a schedule set by the HRA’s Imaging Unit. If the vendor does not make the required pickups on a regular basis, the Center Director/Designee must immediately contact the Electronic Imaging Project Director at (212) 274-5810/5921.

For accountability purposes, every Center must use the Case Imaging Vendor Transmittal (**W-34K**) to maintain a log of cases sent for imaging.

Requesting a Case Record

If the original paper case record is required for an audit, Fair Hearing or any other use approved by a Center Director, the designated staff member must:

- Check WMS to determine the status of the case.
- Check the HRA Viewer to determine if the case has been imaged.
- If the case is closed, contact Bush Terminal at (718) 965-6295 to request a copy of the case file.
- If the case is active, complete a Request for Case Records from the Vendor (**W-34B**) and fax it to the Imaging Case Record Retrieval Unit at (212) 274-5921.

The vendor will deliver the case record to the Case Retrieval Coordinator for forwarding to the Case Record Imaging Liaison or the requestor in 48 hours. Bush Terminal will send the case record directly to the person requesting the record.

The Case Record Imaging Liaison or requestor must return the case record to the Electronic Imaging Case Retrieval Unit at 250 Church Street, 6th Floor, New York, NY 10013, when the record is no longer needed. The paper case record should be returned in the same condition in which it was received from the vendor. Please remember that other people will be utilizing these records and that they should be kept in good condition.

See Attachment **B** for instructions regarding accessing electronic case folders on the HRA Viewer.

Applicant/Participant's Request to Examine Case Record

An applicant/participant has the right to look at the case file upon request. Refer to PB #03-191-OPE for more information concerning case record review.

REFERENCES

18 NYCRR 354
18 NYCRR 358-3.7

RELATED ITEMS

CD #01-08
PB #99-43R
PB #03-191-OPE
PD #03-39-ELI
PD #99-21R(2)

ATTACHMENTS

| | |
|---------------------|---|
| Attachment A | Required Documents for Case Record Imaging |
| Attachment B | Accessing the Electronic Case Record on the HRA Viewer |
| W-34B | Request for Case Records from Imaging Vendor (Rev. 1/27/05) |
| W-34J | Back File Imaging Report |
| W-34K | Case Record Imaging Vendor Transmittal |
| W-34M | Imaging Quick Reference Guide |
| W-34H | Day Forward Imaging report (Obsolete) |

Required Documents/Forms for Case Record Imaging

The following is a sample list of documents/forms that must be sent for imaging. This list DOES NOT constitute all of the documents/forms utilized by the Family Independence Administration to determine eligibility for public assistance, food stamps and/or medical assistance, but are guidelines of what is of importance and should be included in the case record. Staples and paper clips should be removed from all documents that are to be imaged. Both the English and multilingual versions of the forms issued to or completed by applicants/participants must be imaged.

Permanent Applicant/Participant Documentation (regardless of date)

- Verification of identity (e.g., birth certificate)
- Verification of citizenship (e.g., passport)
- Social Security card
- Marriage/divorce or annulment certificate(s)

Application/Recertification Documentation/Forms (regardless of date)

- Most recent Application/Job Profile (**W-680B**) or Food Stamp Benefit Application (**LDSS-4826**)
- Most Recent Recertification for: Temporary Assistance – Medical Assistance Program – Food Stamp Benefits (**LDSS-3174**) and all documents supporting this recertification
- Alcohol/Substance Abuse Screening Form (**LDSS-4571**)
- Request for Identification Card/Temporary Medicaid Authorization/Update Existing CBIC (**W-607A**)
- Ledger Record for Food Stamp Authorization (**W-132B**)
- Record of Special Grant Cancellation and Duplication (**W-674A**)
- All Absent Parent questionnaires (**M-384D** and **M-384K**), finger-imaging photo, referral and report
- Homeless Diversion Unit documentation
- Any information regarding Jiggetts rent
- Language Questionnaire (**W-680FF**)

Most Recent Documentation/Forms (from current date going back one year of agency activity)

- Verification of income
- Verification of residence
- Verification of household composition
- Written documentation submitted by the applicant/participant
- All history sheets (**W-25s**)
- All Fair Hearing referrals and decisions
- **WINRO027** (PA/FS Budget Summary)

Attachment A (page 2)

Notices (from current date going back one year of agency activity)

- Action Taken on Your Application: Public Assistance, Food Stamp Benefits and Medical Assistance Coverage (**LDSS-4013A NYC, LDSS-4013B NYC**)
- Action Taken on Your Food Stamp Case (**LDSS-3152 NYC**)
- Notice of Intent to Change Benefits: Public Assistance, Food Stamp Benefits, Medical Assistance Coverage and Services (Adequate Only) (**LDSS-4016A NYC, LDSS-4016B NYC**)
- Notice of Intent to Change/Continue Benefits (**LDSS-4014A NYC, LDSS-4014B NYC, LDSS-4015A NYC and LDSS-4015B NYC**)

Other

- Most recent TAD (**LDSS-3517**)

The following items **MUST NOT** be included in the imaging folder:

- Domestic violence forms
- WMS screen printouts (with the exception of the budget printouts) as these are updated continually
- Handouts
- Worker's guides
- Duplicate documents
- IRS documents (namely 1099s or Resources File Integration [RFI]), unless they are provided by applicant/participant to support or document any eligibility factor or issue
- Voter's registration application
- Copies of credit cards

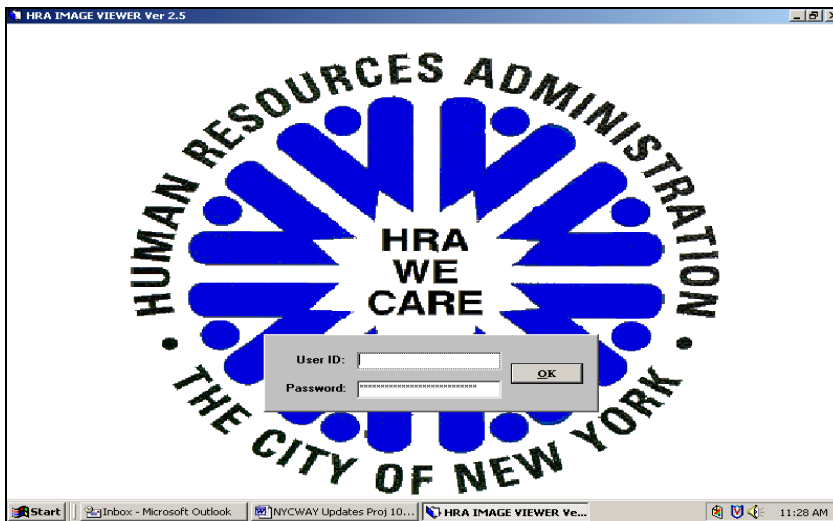
Accessing the Electronic Case Folder on the HRA Viewer

To access the electronic case folder, staff must have a designated user ID and password, assigned by MIS. Only authorized HRA City employees will be given access to the HRA Viewer application. To access the HRA Viewer:

- Click on the HRA Viewer icon  on the personal computer desktop.

The HRA sign-on screen will appear.

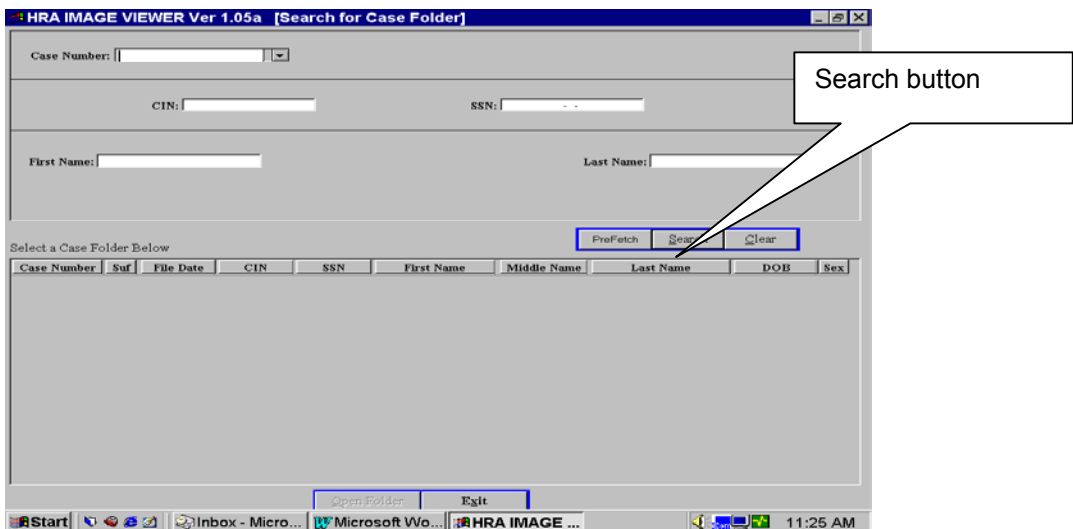
HRA Viewer sign-on screen



Security Feature

- Enter your user ID only. You do not need to enter a password – it is entered automatically. Just enter your **User ID** and click on the **OK** button to continue. The **Search for a Case Folder** screen will be displayed.

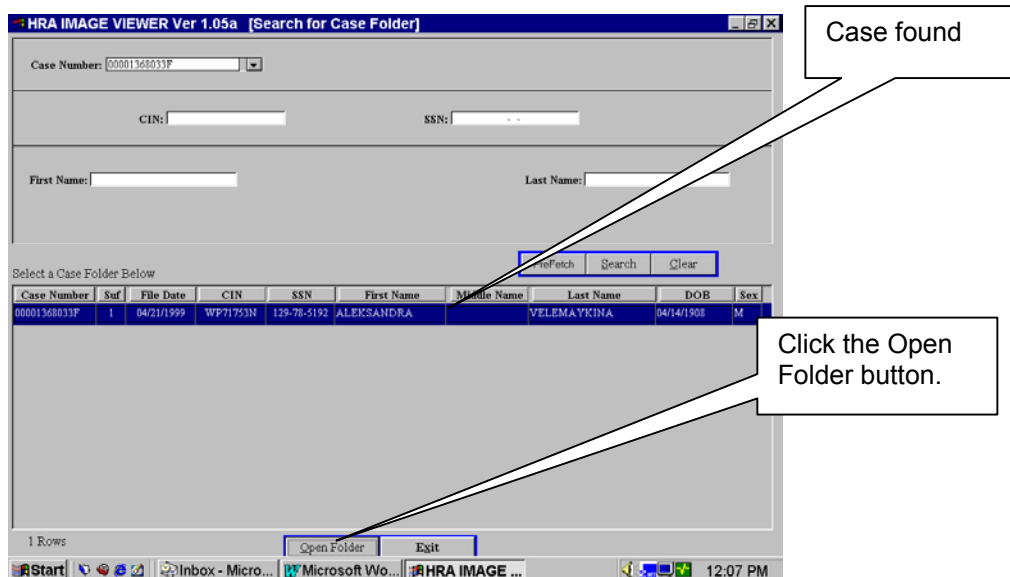
Search for Case Folder screen



ATTACHMENT B (page 2)

- Enter one of the following: casehead's case number, Social Security number, CIN or first and last name. (It is recommended that a Social Security number search be performed, as this will yield the most information.)
- Click on the **Search** button in the middle of the screen. The HRA Viewer will begin a search transaction to locate all possible matching cases. The **Search for Case Folder** section will then highlight a list of cases found.

Search for Case Folder section screen



- Select the case you want to view and click on the **Open Folder** button at the bottom of the screen, and the **Case Folder** screen will appear.

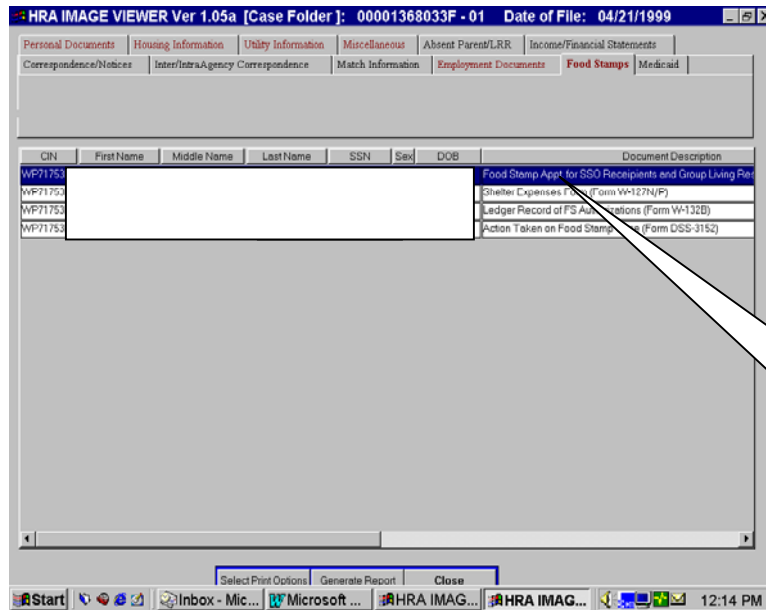
If the images for a particular case have not been downloaded yet (because it has been less than 72 hours since the case folder was picked up by the vendor) or if an incorrect case number has been entered, the HRA Viewer will display a window that contains the message “No data found for the request made!!!” In this instance:

- Check the case number entered to determine if there is a data entry error.
- Verify the date the case record was picked up.
- Match the participant's case number against the way it is listed on the WMS Inquiry screen.
- Re-enter the complete case number exactly as it appears in WMS. For instance, case number 1234567 will appear in WMS as 00001234567B.

ATTACHMENT B (page 3)

If after taking all the steps above, the message “No data found for the request made!!!” appears again, the case record information cannot be accessed on the HRA Viewer. Use the Clear button to delete the incorrect applicant/participant information from the Search for a Case Folder screen. Utilize WMS and/or NYCWAY to obtain the required information.

Case Folder screen

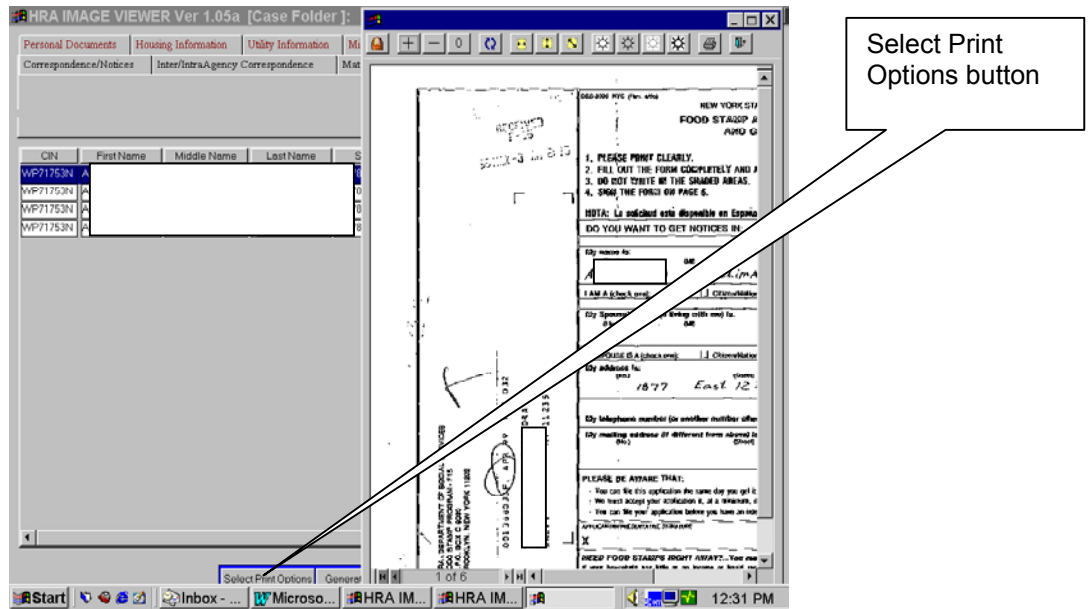


The **Case Folder** screen identifies the participant by case number and application filing date. Participant information is organized by index format (folder types). Workers will have access to the following electronic folders:

- Personal Documents
 - Absent Parent/LRR (Legally Responsible Relative)
 - Income/Financial Statements
 - Employment Documents
 - Correspondence/Notices
 - Housing Information
 - Utility Information
 - Medicaid
 - Food Stamps
 - Inter/Intra-Agency Correspondence
 - Miscellaneous
 - Match Information
 - RAU (Rental Assistance Unit)
- Click on the tab at the top of the screen to select the folder for the particular documentation/form you want to view.

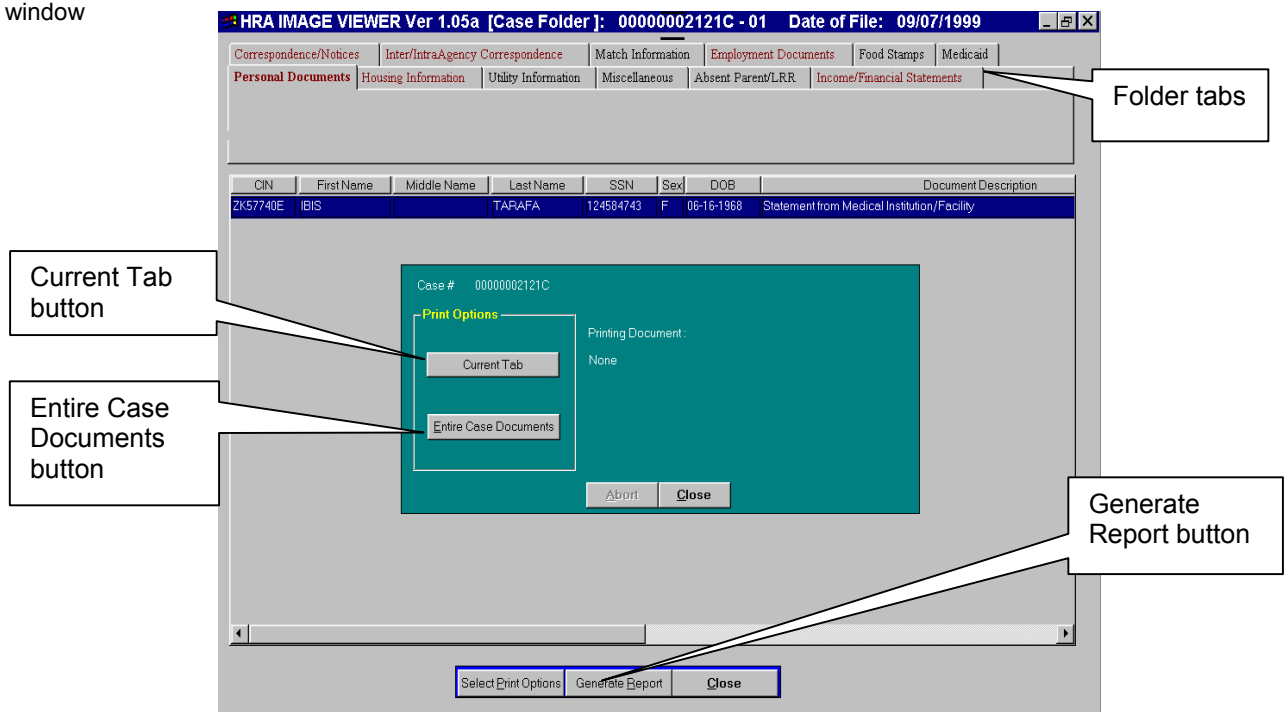
ATTACHMENT B (page 4)

- Highlight and double-click on the participant's individual line that includes the appropriate document description. The **Image Viewer** window will open and the document will be displayed in the right half of the screen.



From this screen you can print the following items by clicking on the **Select Print Options** button to display the **Print Options** window:

Print Options window



ATTACHMENT B (page 5)

- A list of all documents in the case record:
 - Click on the **Generate Report** button and the **Case Report** screen will appear, listing the documents.
 - Double-click on the desired document to view it, then select the **Print** icon at the top of the imaged document, or highlight the document on the **Case Report** screen and click on **Print**.
- The case folder:
 - Tab to the appropriate folder at the top of the screen and click the **Current Tab** button on the Print Options window.
- The entire case record:
 - Click on the **Entire Case Documents** button on the Print Options window. Workers must be careful about printing entire records, since some cases have large amounts of documentation. It is better to print only the specific documents needed, one at a time.

To close HRA Viewer

To close the HRA Viewer, click on the **Close Image** icon of the HRA Viewer after completing your review to close the viewer window.

Technical problems with the HRA Viewer

For problems or assistance with the HRA Viewer, please call the HRA Viewer Help Desk at MIS at (212) 274-6200. To receive the latest updates regarding the HRA Viewer, log off your computer then log back on.



Request for Case Records from Imaging Vendor

Requestor Section: All items below must be completed, otherwise request will not be processed. The completed form should be faxed to (212) 274-5921. Please be advised that all case records will be delivered to 250 Church Street, 6th Floor, New York, NY 10013, for verification and processing. Case records will be forwarded from this central location to requestor's location via interoffice mail. Requests for a large number of case records require that requestors make special pickup arrangements. For questions call (212) 274-6452/5943.

Date of Request: _____ Center/Division Requesting Folders: _____

Requested By: _____ Location: _____ Contact No./Fax No.: _____

Reason For Request: Audit/Review Fair Hearing Lawsuit Other: _____

| Case Number/Alpha | Center | Case Name | Social Security Number | CIN Number | *Date Range of Documents or Folder Being Requested |
|-------------------|--------|-----------|------------------------|------------|--|
| SAMPLE | | | | | |
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(*If no date range is provided, we will retrieve all folders for this request.)

Requestor Signature _____ Title _____ Date _____

Note: All case records requested must be returned to the Imaging Unit at 250 Church Street, 6th Floor, upon completion of review. Requestors will be held responsible for the safekeeping of all records requested.



Case Record Imaging Vendor Transmittal

CENTER: _____

Indicate Type of Folders Enclosed: DAY FORWARD _____ BACK FILE _____

Date Box Prepared: _____ Vendor Pickup Date: _____

**Distribution: Original should be retained by Center.
One copy should be placed inside box.
One copy should be placed on box lid.**

(PLEASE PRINT CLEARLY)

(MAKE SURE CORRECT CASE NUMBER IS ANNOTATED)

| CASE NAME | CASE NUMBER |
|-----------|-------------|
| 1. | |
| 2. | |
| 3. | |
| 4. | |
| 5. | |
| 6. | |
| 7. | |
| 8. | |
| 9. | |
| 10. | |
| 11. | |
| 12. | |
| 13. | |
| 14. | |
| 15. | |
| 16. | |
| 17. | |
| 18. | |
| 19. | |
| 20. | |
| 21. | |
| 22. | |
| 23. | |
| 24. | |
| 25. | |
| 26. | |
| 27. | |
| 28. | |
| 29. | |
| 30. | |

SAMPLE

TOTAL NUMBER OF FOLDERS ENCLOSED IN BOX: _____

Transmittal Prepared By: _____
(print name)



IMAGING QUICK REFERENCE GUIDE

| | |
|--|--|
| HRA Viewer HELP DESK | (212) 274-6200 |
| Closed Case Record Request | Bush Terminal (718) 965-6295 |
| Active (Imaged) Case Record Request | (212) 274-6452 (Fax (212) 274-5921) |
| Request to Bar Code Active Volumes | Submit W-722 – please include number of boxes and number of folders. |
| Request to Bar Code Closed Cases Record <i>(Only cases that have been closed for more than nine [9] months)</i> | Submit W-722 – please include number of boxes and number of folders. |
| Day Forward Imaging Report (W-34H) | Fax report to (212) 274-5921 every Monday morning for the preceding week or mail to address on form. |
| *Back File Imaging Report (W-34J) | Fax report to (212) 274-5921 every Monday morning for the preceding week or mail to address on form. |
| Should you have any questions regarding Case Record Imaging, please call (212) 274-5212. | |

*Applies only during the paper-to-image conversion of back file cases.

