



# FAMILY INDEPENDENCE ADMINISTRATION

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## POLICY DIRECTIVE #08-11-OPE

*(This Policy Directive Obsoletes PD #99-21R (2), PD #05-14-OPE, PB #99-43R and CD #01-08)*

### CASE RECORD IMAGING

<b>Date:</b> April 7, 2008	<b>Subtopic(s):</b> Case Record Imaging
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**AUDIENCE** The instructions in this policy directive are for all staff in program areas that are participating in the imaging project.

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**POLICY** The Family Independence Administration (FIA) is required to maintain a record of every application/recertification made for public benefits that includes all of the documents and information relevant to the determination of eligibility that is made on the application/recertification.

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**BACKGROUND** To facilitate compliance with the above policy, FIA moved from the use of paper records to case record imaging. Case record imaging captures all information from required paper documents and saves it in electronic case folders. This process eliminated the need for paper case records and greatly reduces the space occupied in file cabinets, desks and stockrooms in the Job and Non Cash Assistance (NCA) Food Stamp (FS) Centers.

Case record imaging was carried out in two separate phases: Back File Imaging and Day Forward Imaging. The Back File Imaging process involved the imaging of the existing paper case record. Once imaged, these records were moved off site to a central location. In the Day Forward Imaging phase, the following case actions were sent for imaging:

- Closing actions of a previously Active Case (AC);
- Application cases that are placed in AC status; and
- Application cases that are Closed (CL) or Rejected (RJ).

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

With the implementation of the Paperless Office System (POS), the need for paper case records was eliminated because case actions are processed systematically, eliminating the need for completion of manual forms. The need for Day Forward Imaging was also eliminated because POS Sites have scanning equipment which allows staff to scan and index all required documents and forms not included in POS.

At this time, although the Back File Imaging process has been completed for all Job and NCA FS Centers, POS is not yet available in all of the NCA FS Centers. Until it is, the Day Forward Imaging process will continue to be conducted by a contracted vendor. The ancillary sites that do not use POS (e.g., Office of Central Processing) will continue to follow the Day Forward Imaging process.

Refer to [PB #08-06-SYS](#) for information on accessing the HRA One Viewer

Imaged documents/records are available for viewing by authorized staff through the Human Resources Administration (HRA) OneViewer. The HRA OneViewer is the agency-approved software application used to retrieve electronic case records through a personal computer and can be accessed by clicking on the HRA OneViewer from the HRA Home page.

New Information

**Shredding of imaged records**

The shredding process was implemented on October 7, 2007. After the case records are scanned by the Imaging Vendor, the records are held for 30 days. During the 30-day period, FIA staff must conduct Quality Control (QC) in case anything is missing from the imaging. If everything is complete and the Vendor does not receive any requests for documents that might have been missed, the case record is shredded. All shredding is performed according to the Department of Records and Information Services (DORIS), City and State guidelines and regulations.

**Overview of the Day Forward Imaging Process**

For Centers that do not use POS or do not have scanning equipment.

The forms and documents requiring imaging are outlined in Attachment **A**. The paper to electronic image conversion is performed at the vendor’s facility or in-house by Imaging Project staff.

The turn-around time of the Imaging Vendor to conversion is within four business days. If a case record is needed while in the process of being imaged, the Center/unit Director can request prioritization of case folder imaging. If a paper copy of an imaged case file is needed, provisions will be made for the return delivery within the 30–day holding/QC period.

Active cases imaged in the Back File process that have new documents added to the case are also imaged in the Day Forward Imaging process.

All of the new documentation that supports a case action taken will be placed in a folder, boxed, and picked up by the vendor for imaging on an agreed upon schedule and added to the electronic record.

The imaging site coordinator will train the necessary staff in the use and functionality of the Imaging Vendor tools which include:

- Pick-up schedule
- Case folder request
- Box label request
- Web exceptions
- HRA box pick-up
- Case tracking
- Pending case report
- Folder prepping
- Use of HRA OneViewer applications
- Use of E-Prep database

The E-Prep application is password specific.

**Note:** E-Prep is an application developed by MIS Imaging to look up and verify case number, Fair Hearing number, Social Security number, CIN, and OCSE number, and any other client information to be used in identifying, reporting, and validating client folder information.

Imaged files will be available to the user on the HRA OneViewer within four business days of the pickup date.

In addition, all non-imaged records/documents (closed cases and “active volumes”) as agreed upon by program management and MIS Imaging, will be handed back to the Center/unit for internal storage/disposal.

**Note:** For imaging purposes, “active volumes” refers to any documents deemed not to be imaged by the program management and MIS Imaging area.

### **Vendor Pickup Schedule**

The Imaging Vendor makes pickups of Day Forward Imaging material according to a schedule set by the HRA Imaging Unit. If the Vendor does not make the required pickups on a regular basis, the Center Director/Designee must immediately contact the Imaging Project at (718) 510-0250.

If the Director considers the volume of cases/documents too great, he/she can arrange with the Imaging Project Manager for a second pickup.

For accountability purposes, every Center/unit must keep the receipt provided by our Imaging Vendor upon pick-up to maintain a log of cases sent for imaging.

## REQUIRED ACTION **Day Forward Imaging**

### Responsibilities of the Center Director

Designate a Case Record Imaging Liaison to act as the contact person for vendor pickup and the HRA Imaging Unit.

### Case Record Imaging Liaison

Case Record Imaging Liaisons were selected and trained in the use of the HRA OneViewer.

For the Day Forward Imaging process, the Case Record Liaison 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 (box must be full) and each box is labeled “Day Forward Imaging” with the location on the front of the box;
- a vendor label is affixed to each box;
- all case numbers are entered and verified within E-Prep.

### Worker

Preventing duplication of existing documents.

**The Worker must review the electronic case record on the HRA OneViewer prior to sending new documentation for imaging in order to prevent duplication of existing documents.**

- Have manual notices and supporting documentation copied (these must be clear and readable) 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.

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

- All forms prepared are placed in the participant's case record, completed 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.

### **Imaging Process for Application Cases**

All Centers that are engaged in Day Forward Imaging and receiving pickups from the Imaging Vendor should proceed using the following instructions for imaging application cases:

Follow the Day Forward Imaging guidelines when preparing these records for pickup by the Imaging Vendor.

- Under no circumstance should documents pertaining to an application case be sent for Day Forward Imaging **until all determinations have been processed in WMS** (AP status updated/changed). Folders for cases pending an eligibility determination, along with any documentation submitted, should be held in a tickler file until completed.
- Once an eligibility determination has been made on either the case or an individual on the case, the paper documents can be prepared for pickup by the Imaging Vendor.

### Accepted Cases

The application and all supporting documents must be put in a manila folder and placed in the Day Forward Imaging Bin, with an active case number annotated on the folder.

### Rejects/Closings

All documents related to the application must be placed in a manila folder and annotated with the applicant's name and case number.

Application cases that are rejected or closed will not be stored in Imaged Centers; they will be available only on the HRA OneViewer. Every Center Director/Center Manager must ensure that staff in the Application section has HRA OneViewer training in case an applicant who has been rejected reapplies for assistance.

To request imaging training or to request additional PCs equipped with the HRA OneViewer, the Center Director must call (718) 510-0250.

### 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.

### **Active Imaged Cases that Close**

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 Imaging process. This will ensure that the entire case record will be available on the HRA OneViewer. This process will reduce and eventually eliminate the need to store/file closed cases.

For assistance, information and guidelines for the preparation of Back File Imaging cases, please contact the Imaging Help Desk at (718) 510-0250.

### **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/Center Manager and within the 30-day holding period before case records are shredded, contact the Site Imaging Liaison. The Site Imaging Liaison will check the imaging repository to determine if the case has been imaged.

If the case record is in the HRA OneViewer it can be requested via the vendor Web site. An e-mail response from the Imaging Vendor will be sent to confirm the request for a case record. The Imaging Vendor will deliver the case record to the Case Retrieval Coordinator for forwarding to the Case Record Imaging Liaison or the requestor within 48 hours.

If the case is not found on the HRA OneViewer or vendor Web site (<https://www.acs-mont.com/Home.asp>), contact the HRA warehouse at (718) 965-8766 to request the nonimaged case file. Bush Terminal will send the case record directly to the person requesting the record.

Obsolete Forms

The following forms have become obsolete, because their functions have been replaced by E-Prep:

- Request for Case Records From Imaging Vendor (**W-34B**)
- Back File Imaging Report (**W-34J**)
- Case Record Imaging Vendor Transmittal (**W-34K**)
- Imaging Quick Reference Guide (**W-34M**)

Applicant's/Participant's Request to Examine Case Record

An applicant/participant has the right to look at the case file upon request. Refer to [PB #07-54-OPE](#) for more information concerning case record review.


**REFERENCES**

- [18 NYCRR 354](#)
- [18 NYCRR 358-3.7](#)

**RELATED ITEMS**

- [PB #07-54-OPE](#)
- [PB #08-06-SYS](#)

**ATTACHMENTS**

 Please use Print on Demand to obtain copies of forms.

<b>Attachment A</b>	Required Documents for Case Record Imaging
<b>W-34B</b>	Request for Case Records From Imaging Vendor (Obsolete)
<b>W-34J</b>	Back File Imaging Report (Obsolete)
<b>W-34K</b>	Case Record Imaging Vendor Transmittal (Obsolete)
<b>W-34M</b>	Imaging Quick Reference Guide (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 Cash 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 the multilingual versions of forms issued to or completed by applicants/participants must be imaged.

Permanent Applicant/Participant Documentation (regardless of date)  
Staff must first check the HRA Viewer to determine if a legible copy of the document is already stored before imaging again.

- Verification of identity (e.g., birth certificate)
- Verification of citizenship (e.g., passport)
- Verification of Non-Citizen Status – this includes any document that a non-citizen submits to verify current alien status
- Social Security card
- Marriage/divorce or annulment certificate(s)

Application/Recertification Documentation/Forms (regardless of date)

- Most recent Statewide Common Application (**LDSS-2921**) or Food Stamp Benefit Application (**LDSS-4826**)
- Most recent Recertification Documentation for: Temporary Assistance – Medical Assistance Program – Food Stamp Benefits (**LDSS-3174**) and all documents supporting this recertification
- Alcohol/Drug Abuse Screening and Referral Form (**LDSS-4571**)
- Request for Identification Card/Temporary Medicaid Authorization/Update Existing CBIC (**W-607A**)
- Ledger Record of 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 report
- Homeless Diversion Unit documentation
- Any information regarding Jiggetts rent
- Language Questionnaire (**W-680FF**)



Attachment A (page 2)

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)

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

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

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

- Domestic violence forms
- WMS screen printouts as these are updated continually
- Handouts
- Worker's guides
- Duplicate documents
- IRS documents (namely) 1099s Resources File Integration [RFI], unless they are provided by applicant/participant to support or document any eligibility factor or issue (see PD #08-19-OPE Safeguarding IRS Information)
- Voter's registration application
- Copies of credit card receipts



### 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
OBSOLETE					

(\*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.	
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21.	
22.	
23.	
24.	
25.	
26.	
27.	
28.	
29.	
30.	

OBSOLETE

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 <b>W-722</b> – 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 <b>W-722</b> – please include number of boxes and number of folders.
*Back File Imaging Report ( <b>W-34J</b> )	Fax report to (212) 274-5921 every Monday morning for the preceding week or mail to address on form.
<b>Should you have any questions regarding Case Record Imaging, please call (212) 274-5212.</b>	

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