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Administrative Directive Memorandum

Section 1

Transmittal:	20-ADM-04
To:	Social Services District Commissioners
Issuing Division/Office:	OTDA Employment and Income Support Programs DOH Office of Health Insurance Programs
Date:	February 27, 2020
Subject:	Implementation of Phase 2 of the NYDocSubmit Mobile Application and On-Site Imaging Worker Portal
Suggested Distribution:	Supplemental Nutrition Assistance Program (SNAP) Directors Temporary Assistance Directors Welfare Management System (WMS) Coordinators Home Energy Assistance Program (HEAP) Coordinators Fraud Coordinators Employment Coordinators Medicaid Directors Staff Development Coordinators
Contact Person(s):	TA Policy Questions: TA Bureau: (518) 474-9344 SNAP Policy Questions: SNAP Bureau: (518) 473-1469 HEAP Policy Questions: HEAP Bureau: (518) 473-0332 Medicaid Policy Questions: Upstate (518) 474-8887; NYC (212) 417-4500 NYDocSubmit Mobile Application Onboarding Questions: IES Bureau (518) 486-5806 NY.gov or NYDocSubmit Mobile Application Related Questions: ITS Service Desk (844) 891-1786
Attachments:	Attachment A - NYDocSubmit Quick Reference Card

Filing References

Previous ADMs/INFs	Releases Cancelled	Dept. Regs.	Soc. Serv. Law & Other Legal Ref.	Manual Ref.	Misc. Ref.
19-ADM-07 17-OCFS-ADM-15	<Insert Text>	350.7 351.1 351.2 351.6 351.8(b) 351.21 357 360-2.3 360-2.4 387.5(f) 387.9 393.5	95 131 131-a 136 158 349-a	TA Source Book, Chapter 5 SNAP Source Book, Section 5 Medicaid Reference Guide	7 CFR 273.2 GIS 18 TA/DC022 GIS 19 TA/DC048

Section 2

I. Summary

This Administrative Directive Memorandum (ADM) informs social services districts (districts) of the implementation of Phase 2 of the NYDocSubmit mobile application (Application) for mobile devices, for districts that use the Imaging and Enterprise Document Repository (I/EDR) to maintain electronic case records for Temporary Assistance (TA), Supplemental Nutrition Assistance Program (SNAP), Home Energy Assistance Program (HEAP), or Medical Assistance (MA). This ADM also includes a description of the information that is entered by an individual when using the Application to upload a document to a participating district and provides information to help districts understand how to search for, select and process documents in the On-Site Imaging Worker Portal (OSI).

The Application used by the individual is the same regardless of whether the individual resides in a district that implemented under Phase 1 or implements under Phase 2 of the Application. However, the OSI being deployed in Phase 2 is necessary to enable districts that use I/EDR and opt into using the Application to receive documents that have been uploaded through the Application. A participating district will also be able to review and process documents, including the indexing of documents into the electronic case record maintained in I/EDR.

Phase 2 will be piloted in five districts that use I/EDR using a two-step implementation. Madison and Onondaga counties are scheduled to pilot the Application and OSI starting on or about March 24, 2020. Greene, Washington and Rensselaer counties are scheduled to pilot the Application and OSI on or about April 21, 2020. The Application is available in: English, Spanish, Arabic, Bengali, Chinese (Traditional), Korean, and Russian.

Districts that use I/EDR and opt into Phase 2 implementation provide households residing in their district with an additional method for submitting documentation to support an initial application or continued eligibility for TA, SNAP, and HEAP. Individuals that live in a Phase 2 opt-in district may also submit documentation for certain MA cases, as described below.

II. Purpose

The purpose of this ADM is to provide information on Phase 2 implementation of the Application, including the OSI for districts that use I/EDR for electronic case records. This ADM is informational only for districts that do not use I/EDR for electronic case records. Non-I/EDR districts should refer to 19-ADM-07 for information on Phase 1 of the Application.

III. Background

Individuals that apply for or receive benefits from one or more of the programs identified above are required to provide information to the district to verify the household's initial or continued eligibility. Documentation may be submitted in response to a LDSS-2642 DOCUMENTATION REQUIREMENTS form issued by the district, a myWorkspace-generated Required Documentation Report (LDSS-2642 EL), the "Documents Needed When You Apply for Health Insurance" form included with the Access NY application (DOH-4220), or an individual may submit documentation to report a change in circumstances to the district. The current methods to submit documents used by an individual that resides in a district that uses I/EDR for electronic case records include: (a) visiting their district office and providing a hard copy or scanning via a kiosk; if available, (b) sending in via fax machine, (c) sending through the U.S. Postal Service, or (d) via <http://www.myBenefits.ny.gov> in association with an electronic application for SNAP and/or HEAP, a recertification for TA and/or SNAP, or to report a change for TA and/or SNAP.

The ability for an individual who has applied for or is receiving benefits to use a mobile device to submit documentation to a district was requested by the Integrated Eligibility System (IES) Social Services District workgroup. The IES Program Office worked closely with the New York State Office of Temporary and Disability Assistance (OTDA), the New York State Department of Health (DOH) and the New York State Office of Information Technology Services (ITS) to develop the capability for individuals to submit documents using a mobile device.

A group of districts was identified and participated in on-site sessions to help develop the Application. The information collected during these sessions and follow-up discussions was used to develop the Application's functionality and features. The intent of the Application is to use available technology to provide individuals with an additional method for providing documents that were requested by the district or are submitted to report and verify a change to the district in a timely manner.

Phase 1 implementation (for non-I/EDR districts) was initially introduced in late fall of 2018, as described in [19-ADM-07](#). Phase 1 of the Application is operational in five districts (Broome, Chemung, Clinton, Livingston and St. Lawrence) and is available to the other non-I/EDR districts. Implementation of Phase 2 of the Application for districts that use I/EDR will provide participating districts with another method to electronically receive documents and to manually index them to I/EDR, as appropriate. These districts will use the OSI that will be deployed in Phase 2. The OSI is a web-based application that workers and other staff that have been provisioned access by the participating district will use to review and process documents that have been uploaded to that district through the Application, including indexing documents to I/EDR as appropriate. Each participating district will only be able to access, review, and process documents transmitted to that district based on the district selected by the individual at the time that the document is uploaded.

A single page or multi-page document may be submitted by the individual. Individuals are encouraged in the Application to take a picture of each page of a document and upload all the images associated with the same document in one upload.

The information provided immediately below describes use of the Application including the information that may be entered by an individual when uploading a document to a participating district. Information to describe the roles and functionality of the OSI is provided later in this section of the ADM.

A. Use of the Mobile Application

- Downloading the Application

Individuals may download the Application from their preferred mobile app store and install the Application on their mobile device. Mobile device requirements, if any, will be outlined in the mobile app store. There is no cost for the Application, however, downloading and/or using the Application may result in charges to the individual's data plan with their mobile provider. The individual is solely responsible for any data access, messaging, and other service rates and charges that they may incur in connection with their mobile device and use of the Application.

- Requirement to Use the Latest Version of Application

The Application requires individuals to use the latest version of the Application to successfully upload documents to a participating district. Individuals with "auto update" enabled on their mobile device should automatically receive Application update releases. Individuals who do not have "auto update" enabled and have an earlier version of the Application on their mobile device will be offered the opportunity to visit their preferred mobile app store after signing into the Application and will need to download and use the latest version of the Application to successfully transmit a document to a participating district.

- NYDocSubmit Log In

An individual will be required to use their NY.gov account to log into the Application. If the individual does not have a NY.gov account, they will be provided with the opportunity to create an account after downloading the Application. The Application includes a link to NY.gov for an individual to create an account.

- Language Setting

When launching the Application, the individual may select their preferred language from the following list: English, Spanish, Arabic, Bengali, Chinese (Traditional), Korean, and Russian. If the individual does not select a language from the list, the Application will display in the language currently set on their mobile device, provided that the device is set to one of the languages mentioned above. Otherwise, the Application will default to English. The language displayed in the Application can be changed at any time to one of the languages identified above through the menu that is available in the top left corner of the Application screen.

- Terms of Use and Disclaimer

The first time an individual accesses the Application, they will be prompted to read and accept the "Terms of Use" by scrolling to the bottom of the screen, checking the "I agree to the Terms of Use" box and then selecting "Continue". Individuals who do not accept the "Terms of Use" will not be able to use the Application. The "Terms of Use" is also available at any time to the individual who uses the Application through the menu that is in the left corner of the screen. In addition, each time an individual logs into the Application, they will be prompted to read and must agree to a "Disclaimer". The "Disclaimer" provides important information regarding the use of the Application including information to advise the individual to use an alternate method to submit documents that may include sensitive information, as described in Section V of this ADM, or if the Application is not available for any reason. The "Disclaimer" also informs the individual that the Application should not be used to submit an application for assistance/services or a periodic report; informs the individual that the Application is not monitored for emergencies; and reminds the individual of their responsibility to provide documents in the timeframe designated by the district.

- History Screen

Individuals who log into the Application may access a history screen that includes information associated with documents that were uploaded under that NY.gov ID within 60 days from the date of the document upload (see information below for uploads that failed). The history screen includes the name of the district that the document was sent to, the document category selected, the date and time of upload, and the tracking number assigned by the Application for each document uploaded. However, the history screen does not display the document.

The information displayed on the history screen is based on the NY.gov ID login and may include information associated with documents that were uploaded for that individual, a household member, or another person.

- Selecting a District/Program/Document Category

One of the first steps an individual takes in the Application is to select their district from a dropdown list of all participating districts. The individual must also select a program area and a document category before taking steps to upload a document, as described below.

The list of program areas that the individual may select from in the Application are: TA, SNAP, HEAP, MA, or "I'm not sure". The individual may select only one program area when uploading a document.

The document category is selected from the following list of document categories available in the Application: age/identity, citizenship or current alien status, income, medical documentation, proof of who lives in your household, residence, resources, shelter/utility expenses, social security number/proof of SSN application and other. The individual may select only one document category for each document uploaded. Information to help an individual identify the correct document category is included in the frequently asked questions which are available through the menu in the top left corner of the Application screen. However, districts should note that the document being uploaded may not necessarily be related to the document category selected by the individual. For example, an individual may choose the document category "income" and incorrectly upload a birth certificate.

- Individual Identifying Information

The Application will associate the document that is uploaded with the name from the NY.gov ID identified at the time the individual logs into the Application. However, the first and last name may be changed to reflect that a different individual is associated with the document(s) being uploaded, by modifying the name fields on the "Identifying Information" screen before transmitting the document. For example, the individual uploading the document may change the first and last name if submitting documents for another individual. It is important to note that the Application does not confirm that the individual is known to the Welfare Management System (WMS). The individual is asked to enter a contact number and must provide at least ONE of the following data elements for the person for whom the document is being uploaded: social security number (SSN), client identification number (CIN), case number, or date of birth (DOB).

Note: The information (metadata) associated with documents successfully received by the state data center will be made available to the district in the OSI. Metadata may include identifying information entered by the individual (such as name, program area, case number, SSN, CIN, DOB, phone number, document category selected), tracking number assigned by

the Application, and the date and time that the document was uploaded through Application. The metadata will assist districts in performing a WMS inquiry on all documents, as needed, to associate the document to a pending application or existing case(s). Districts are encouraged to review and verify that documents are valid and meet program requirements before manually indexing the document to the correct electronic case record in I/EDR. As is current district practice, when documents are received in the district, a WMS inquiry may need to be performed to associate the documents to a pending application or existing case(s) and to route the documents to the necessary program area(s) for review and validation.

- Review of Documents and Associated Information

The Application provides an opportunity for the individual to review each document and to confirm the information entered before transmitting the document to the selected district. Individuals may correct any information entered in error and/or take a new picture of a document before uploading the document to the selected district.

- Transmission of Documents

There are two steps that must occur before an upload is complete and the document is available to the district in the OSI.

The first step is that the document must be received by the state data center. A confirmation screen will appear in the Application if a document is successfully received. The confirmation screen includes the tracking number, name, upload date and time, the program area, document category, and the district selected by the individual. Most of this information will also appear in the Application's history screen (name does not appear in the history screen) of the NY.gov ID used to transmit a document received by the state data center for 60 days from the date of transmission.

Note: If the Application is closed before the confirmation screen appears, the document upload may terminate before the state data center receives the document. If the document is not received by the state data center due to the closure of the Application or any other reason before the transmittal is complete, no confirmation screen will appear in the Application, no document or associated metadata will be provided to the district, and no history of the transaction will appear in the history screen. Therefore, individuals should keep the Application open after uploading a document until the confirmation screen appears.

The second step is that the document must successfully pass the virus scan before it will be available in the OSI. Documents that successfully pass the virus scan, and their associated metadata, will be available to districts that participate in Phase 2 via the OSI. However, documents that do not pass the virus scan will not be available in the OSI, as described below. In such situations, the document transmission will be assigned a document status of "Virus Detected". Only the document status (not the document) and the metadata (as described above) will be available to the district. Districts are strongly encouraged to review transmissions in the OSI each business day and to note instances of documents that did not pass the virus scan (see Section V. Required Action for additional information on the steps that districts must take when a document did not successfully pass the virus scan).

Individuals are advised by the confirmation screen that documents that are transmitted through the Application must still be routed to their district and reviewed in relation to their case. Individuals are also advised that they may be contacted by the district if there are problems with the upload and that they may be required to resubmit documentation requested by the district. This includes instances where a document was transmitted

through the Application, received by the state data center, but subsequently did not pass the virus scan.

- Document Upload Failed

If a document upload fails due to the loss of connectivity in internet service after the submit button has been selected, a message will appear in the Application advising that the upload failed and prompting the individual to check the internet connection and retry later. This message will not appear if the individual has already closed the Application. No information regarding failed transactions will appear on the history screen and no metadata will be available to the participating district, as the document was never received by the state data center. The individual must use an alternate method to submit documents in the timeframe designated by the district if the Application is not available or the document upload failed.

- Closing the Application

An individual should use whatever function their mobile device provides to close the Application to end the session (e.g., swipe the screen to close) after receiving the confirmation screen to indicate the transmission has completed.

B. OSI Worker Portal

- Roles and Associated System Permissions

District users must be provisioned to access the OSI and assigned at least one role by the district's NY.gov Lightweight Directory Access Profile (LDAP) Delegated Entitlement Administrator. Users may be assigned one or more of the roles identified below within the OSI. Each district's internal process determines how OSI-specific roles are provisioned to district staff. Roles and system permissions currently assigned in On-Site Scanning (OSS) that are consistent with the roles and permissions described below could be used as a reference point for assigning roles in the OSI. The district roles and associated system permissions available in the OSI are:

- Viewer: District user who has the system permissions to search for documents and view unsuppressed documents only. This role does not provide a user with the permission to decision (index/not index) a document in any way.
- Indexer: District user who has the system permissions to search for documents, view unsuppressed documents, claim and unclaim documents, decision documents, and change the status of documents within the OSI.
- District Supervisor: District user who has the system permissions to search for documents, view unsuppressed documents, and generate reports to assist in managing documents that are uploaded through the Application and available in the OSI.
- Suppressor: A district supervisor who has the system permissions to search for documents, view unsuppressed documents, view suppressed documents, suppress documents, and unsuppress documents in the OSI.

Note: The suppressor role is an add-on role and may only be given to individuals who are already assigned the district supervisor role, as described above.

- Signing into the OSI Worker Portal

Users that have been provisioned a role(s) will access the OSI through Centraport or a direct URL. Users must “Agree” to an attestation before continuing to the NY.gov authentication screen to enter their NY.gov credentials. The attestation informs users that reading the terms and clicking the “I Agree” button indicates the user’s agreement to the entirety of the attestation and any obligations arising under the acceptable use policies or terms of service of the site or sites used to access the OSI. After entering their NY.gov credentials and successful NY.gov authentication, the user is directed to the “Main Menu” screen.

If the user does not agree to the attestation, the NY.gov authentication screen will not appear and access to the OSI will be denied.

- Document Search and Retrieval

The “Document Search and Retrieval” screen will be used by authorized district users to locate documents and their associated metadata in the OSI. At least one of the following search criteria must be entered to produce search results: upload date range (with or without a time range), tracking number, document status, case number supplied, social security number supplied, date of birth supplied, applicant/recipient first name, applicant/recipient last name, phone number (contact number supplied), submitter first name, submitter last name, worker ID, worker first name, worker last name, document category selected, program type selected, client identification number supplied or suppressed. It is important to note that the search fields provided in the “Document Search and Retrieval” screen for case number supplied, social security number supplied, date of birth supplied, applicant/recipient first name, applicant/recipient last name, phone number, submitter first name, submitter last name, document category selected, program type selected and client identification number supplied query the information supplied by the individual at the time that the document is uploaded and not based on information in WMS.

The search results will display up to ten items per page. To view more than the first ten items, a user must use the navigation buttons on the screen to view the subsequent pages. If total search results exceed 200 items, the user will receive a system message indicating that more search criteria must be entered to narrow the search results.

The search results will include a radio button to the left of each returned record. To view the associated unsuppressed document, the user will select the appropriate radio button and the “view” button at the bottom of the screen. Note: If a user has the suppressor role, suppressed documents, when selected by the user, will also be viewable.

- Claiming and Unclaiming a Document

An indexer, after locating and selecting a document from the search result (which opens the “Indexing” screen), can click the “claim” button for that document. Claiming a document is not required, but when used indicates to others in the OSI that a specific indexer is, or will soon be, taking action on that document.

An indexer can unclaim a previously claimed document. The indexer can search for and locate the document and click the “unclaim” button on the “Indexing” screen for that document. The unclaimed document is then available to be claimed by another indexer or otherwise acted on in the OSI, as appropriate.

Note: Another indexer can claim a document that has a document status of “claimed”. The

document status does not need to be changed to “unclaimed” before another indexer claims the document.

It is important to note that a document does not need to be claimed prior to taking action on a document. Meaning, if a document is claimed by one indexer, and that indexer is no longer available to take action on that document, another indexer can take action on that document, such as indexing the document to I/EDR, if appropriate.

- Document Status

Once an indexer has reviewed a document, they must determine how to “decision” (i.e., select a status for) the document. The indexer can only select one document status for each document. The available document statuses for documents in the OSI and their definitions are listed below:

- Indexed: The index processing for this document has concluded within the OSI. The document has been successfully indexed to the appropriate electronic case record in I/EDR.
- Not Indexed – Rerouted: The document was submitted to the incorrect district. The correct destination is known, and the document will be re-routed by the district outside of the OSI, consistent with the district’s existing procedures for re-routing documents to the correct district.
- Not Indexed – Not Legible: The document has been identified as unreadable.
- Not Indexed – Unresponsive: The document is not responsive to the district’s request.
- Not Indexed – Destination Unknown: Unable to determine the intended destination for the document.
- Not Indexed – Duplicate: A copy of this document has already been submitted and indexed in I/EDR.

- Indexing a Document in the On-Site Imaging Worker Portal

After an indexer has searched for, and successfully located a document, the indexer will review and determine the appropriate actions needed. If the document is deemed appropriate for indexing, the indexer should perform a WMS inquiry and confirm the identifying information provided by the individual. Next, the indexer will enter the WMS-verified CIN, case number, or application registration (app reg) number to validate the information against WMS within the OSI. A message will appear to indicate the CIN, case number, or app reg number entered is valid (or not valid) in WMS. This acts as a secondary check, and the indexer should confirm that the information displayed is correct before indexing the document. After validation has been completed, the indexer must also select the appropriate line number when the app reg number is being used or CIN when the case number is being used to index a category one (permanent) document (see the [NYS Indexing Desk Guide-Document Level](#) for additional information.) The line number or CIN should not be selected in the separate field when the CIN is validated before indexing a category one document or the case number or app reg number is validated before indexing a document that is not a category one document. The indexer will then select the appropriate document category and document type based on the document to be indexed from the [“NYS Indexing Desk Guide-Document Level”](#) and select the “Index” button to index the document to the correct electronic case record in I/EDR. The document will then be indexed in I/EDR and the document status (see definitions provided above) in the OSI will be updated to “Indexed”.

Note: Documents may require additional action outside of the OSI to completely process the document. For example, it may be necessary to use the cross-reference function in I/EDR to associate a document that has been indexed from the OSI to other electronic case records

in I/EDR for that household.

Documents that are decisioned by assigning a document status of “not-indexed” remain available in the OSI for future review and additional action by the district, if necessary.

- **Suppressed Documents**

The OSI will include the ability to suppress documents that the district determines are inappropriate or should not be indexed into I/EDR because the document includes sensitive information. Only individuals who have been granted both the district supervisor and the additional suppressor role will be able to suppress/unsuppress documents in the OSI.

When a document is suppressed, the document itself may be retained in the OSI (see information below) but is not viewable to users who do not have the suppressor role. The metadata associated with the suppressed document, including an indicator that the document is suppressed, will be displayed in search results, on the “Indexing” and “Document Details” screens and the reports available to users with the district supervisor role, regardless of whether the user has been granted the suppressor role.

Note: A document with a document status of “new”, “claimed”, or “unclaimed” will need to be assigned a document status of “not indexed” with the appropriate reason before the document can be suppressed in the OSI.

A document submission must be suppressed in whole. For example, a user cannot suppress only one page of a multiple page submission. The suppressed document will remain accessible for retrieval by users permissioned to access suppressed documents, if necessary, provided the document has not been deleted from I/EDR after being indexed. Documents that are uploaded through the Application and indexed, but subsequently deleted from I/EDR will not be available for review in the OSI.

- **Management Reports**

The OSI will include reports to help districts manage documents that have been uploaded into the OSI. These reports will be limited to users who have been granted the district supervisor role. All reports will be exportable to Excel.

District supervisors will only be able to run reports for documents that have been transmitted to that district based on the district selected by the individual at the time the document is uploaded.

IV. Program Implications

Implementation of this Application provides an additional method for an individual to submit documentation to their participating district. Use of the Application to upload documents does not change a district’s responsibility to review and verify documents that are submitted to support a determination of initial or continued eligibility for TA, SNAP, HEAP or MA. Districts should note that an individual will be able to upload any document, including an image of a birth certificate or social security card through the Application. Uploaded images of “primary” documents that are not subject to change, including but not limited to, birth certificates, documents indicating non-citizen status, and marriage certificates, when verified by the district, meet the threshold for “original” documentation requirements for all programs identified above. Districts that opt to receive documents through this Application must access the OSI to review, verify, and act on documents that are uploaded through the Application in a timely manner consistent with current program requirements and procedures. Districts also remain responsible for processing applications for assistance and related information in a timely manner.

The Application indicates in the “Terms of Use” and the “Disclaimer” that use of the Application does not guarantee eligibility for benefits or services. Regardless of the method used to submit information, the individual who has applied for or is receiving benefits remains responsible for submitting documentation within the timeframe designated by the district.

Any questions regarding the review, validation or processing of documents associated with initial eligibility or ongoing benefits for TA, SNAP, or HEAP should be directed to the appropriate program area contact contained in Section 1 of this ADM.

Additional Medicaid Implications:

This Application may be used by an individual to transmit documents for Medicaid ONLY cases that include MAGI and non-MAGI cases processed by the district. However, an individual may also be a member in a NY State of Health (NYSoH) household and in that scenario, receipt of documents processed using the Application will not be directly available to the NYSoH. In the event an individual submits documents via the Application to a district that pertain to a NYSoH case, the district must follow its current procedure for delivering those documents to NYSoH. Such documents must be forwarded to NYSoH no later than the next business day after receipt of the documents in the district. Where documents pertain to more than one program, and one is a NYSoH case, the district must index those documents for their purposes while at the same time transmitting those documents to NYSoH. Any questions concerning the handling of documents processed through the Application should be referred to the district's Medicaid liaison.

V. Required Action

Districts that use I/EDR for electronic case records for TA, SNAP, HEAP or MA and are interested in opting into the Application during Phase 2 are encouraged to contact the OTDA IES Bureau using the contact information contained in Section 1 of this ADM. The OTDA IES Bureau will initiate the process with State Agency partners to onboard the district after completion of the Phase 2 pilot.

Note: Districts that have already contacted the OTDA IES Bureau to express interest in opting into the Application during Phase 2 prior to the release of this ADM will be contacted for onboarding after the completion of the Phase 2 pilot.

Indexing and Assigning Documents:

Districts that opt to participate in Phase 2 of the Application, at a minimum, are strongly encouraged to access the OSI each business day to review documents received and to index documents to the correct electronic case record maintained in I/EDR or otherwise notify necessary staff, as appropriate, within one business day of upload by the individual. However, this recommendation does not change the established timeframes for determining eligibility as required by State regulations (see 18 NYCRR 351.8(b) for TA, 18 NYCRR 387.5(f) for SNAP, 18 NYCRR 393.5 for HEAP and 18 NYCRR 360-2.4(a) for MA).

Districts that participate in Phase 2 should review and adjust, as needed, existing procedures for distributing incoming documents so that staff are aware of receipt and are able to review and process the documents. The upload date assigned by the Application at the time of successful document transmission should be used as the date that the document was received by the district. Documents that are submitted after business hours may be considered by the district as “received” the next business day, provided that OTDA has not previously directed otherwise and doing so is consistent with existing procedures used by the district for determining the date that the district receives documents. For example, the HEAP program requires that documents received via U.S. Postal Service postmarked by the closing day of a HEAP component (such as regular HEAP), be processed for eligibility, regardless of when the mail is received by the district.

Documents that are electronically submitted through the Application must be reviewed and verified by the district in the same manner as any other documentation provided to the district to support a household's initial application or continued eligibility for one or more of the programs identified above. This includes the responsibility to review and verify that the documents are valid and meet program documentation requirements. Districts are encouraged to review and verify documents prior to indexing.

Staff who have been provisioned access to the OSI by the participating district may review documents and, if authorized by the district, may index documents that have been uploaded through the Application into the OSI to the electronic case record in I/EDR. This process includes conducting a WMS inquiry to validate the CIN, case number and/or app reg number associated with the document to be indexed, as appropriate; entering the correct CIN, case number or app reg number for the associated document into the appropriate field on the "Indexing" screen in the OSI; selecting the correct CIN when the case number or the correct line number when the app reg number is being used to index a category one document to validate that the document is being indexed to the correct CIN, case number, or app reg number and selecting the correct document category and category type (see "[NYS Indexing Desk Guide-Documents Level](#)" for more information) from the fields on the "Indexing" screen.

Note: Districts will only be able to index a document from the OSI to one CIN, case number, or app reg number. Therefore, the cross-referencing of a document to other electronic case records in I/EDR associated with that individual/household must occur outside of the OSI using the cross-referencing function in I/EDR, consistent with local procedures.

Documents the district determines should not be indexed because the document is not legible, is not appropriate, is not responsive to the information requested by the district, was previously indexed to I/EDR (duplicates) or should be re-routed to another district should be assigned a document status of "not indexed" with the appropriate reason. Additional follow up on "not-indexed" documents may be needed by the appropriate program area, as described below.

The OSI also includes the ability for a district supervisor who has also been provisioned by the participating district with the suppressor role to suppress a document that has been uploaded through the Application, but after review is determined by the district to be inappropriate or includes sensitive information that should not be indexed to the electronic case record in I/EDR (see "Documents with Sensitive Information" provided below for more information). Once a document has been suppressed, it can only be viewed by a user who has been provisioned with the suppressor role.

Districts must use existing procedures to address documents that are not legible or for which legitimacy is questionable, including documents that appear to be altered. For example, a district could issue another [LDSS-2642 DOCUMENTATION REQUIREMENTS](#) form, the "Documents Needed When You Apply for Health Insurance" form included with the Access NY application (DOH-4220), or a myWorkspace-generated Required Documentation Report (LDSS-2642 EL) to inform the individual that documentation submitted through the Application is not legible and that the individual must provide a legible copy of the required documentation in the timeframe designated by the district. All outreach should be documented in the case record.

All documents transmitted through this Application that are used to support any action taken by the district must be maintained as part of the electronic case record in I/EDR (for exceptions regarding documents with sensitive information, see the "Documents with Sensitive information" paragraph included below). Districts should also ensure that the correct document category and document type are selected when indexing the document into the electronic case record in I/EDR.

Note: Documents transmitted through the Application are subject to the same record retention requirements as documents of the same document type received through another method.

Consistent with [18 GIS TA/DC022](#), districts must continue to retain and preserve documents pertaining to Family Assistance (FA), Emergency Assistance to Needy Families with Children (EAF), Safety Net Assistance (SNA), Emergency Safety Net Assistance (ESNA) or Emergency Assistance to Adults (EAA) cases until further notice, even if the minimum prescribed retention period has expired.

Documents That Do Not Pass Virus Detection:

Documents that did not pass virus scan will be assigned a document status of “Virus Detected” in the OSI. Districts are strongly encouraged to perform, each business day, a review of the document status and metadata for documents that did not pass virus scan. The appropriate program area(s) should be informed to conduct follow-up with the household for documents that did not pass the virus scan prior to negative action being taken on the case related to the submission of required documents to verify eligibility requirements. All information regarding documents that did not pass the virus scan received by the district and the attempts to contact the household to request information necessary to determine initial or continuing eligibility, should be documented as part of the electronic case record in I/EDR.

Documents with Sensitive Information:

Documents that include sensitive information, such as documents that contain HIV or domestic violence information, information regarding a child protective case, information to report suspected child abuse or maltreatment and/or addresses that must remain confidential to safeguard the individual who has applied for or is receiving benefits or any household member should not be submitted through the Application. Districts should continue to advise individuals to submit sensitive documents to the district in another secure manner, such as in-person or through the U.S. Postal Service. Sensitive information received by the district through the Application should not be indexed into the electronic case record in I/EDR. Districts must continue to follow existing procedures for handling and storing documents with sensitive information. For example, any Family Violence Option (FVO) documents that are submitted through the Application should not be indexed into the electronic case record in I/EDR but provided to the Domestic Violence Liaison (DVL) and separately kept in the FVO files maintained by the DVL.

Districts should also note that information received through the Application which provides reasonable cause to suspect child abuse or maltreatment requires a report to the Statewide Central Register. The number that districts should use to report suspected child abuse or maltreatment is 1-800-635-1522.

Suppressing Documents in the OSI Worker Portal:

District should suppress documents that the district determines to be inappropriate or include sensitive information, as described above, which were uploaded through the Application and are available in the OSI. Districts should refer to their existing procedures and program rules to determine when a document must be suppressed in the OSI. For example, it would be appropriate to suppress a document in the OSI that includes sensitive information, as described above. Please note that the “Terms of Use” and the “Disclaimer” advise individuals to use an alternate method to submit documents that may include sensitive information, as described in Section V of this ADM. However, if such documents are uploaded through the Application, designated district staff should suppress the documents in the OSI, as appropriate.

Misdirected Documents:

As described earlier (see Section III. Background), the individual using the Application is prompted to select the correct district to which they intend to submit documents from the list of participating

districts. However, districts that discover that documents were submitted to them in error should use existing procedures to identify and forward the documents to the correct district.

Districts should also follow existing procedures to securely transmit documentation that was uploaded through the Application but intended for a program not listed above. For example, documentation to support an application for child-care services that is inadvertently uploaded through the Application should be securely forwarded to the appropriate area for review and action. If a document is submitted to a district for a NYSoH consumer, it should be forwarded to NYSoH, PO Box 11725, Albany, NY, 12211 or by fax: 855-900-5557.

Applications/Periodic Reports that are Uploaded through NYDocSubmit:

Individuals are advised in the Application's "Disclaimer" that the Application should not be used to upload applications for services/benefits or periodic reports. However, should an individual inadvertently upload an application for TA, SNAP, HEAP, or MA, the district must process that application in accordance with State and federal program rules and regulations. Districts should also process a periodic report that may be inadvertently uploaded through the Application consistent with State and federal program rules and regulations. Applications for any other programs or services should be securely transmitted to the appropriate agency/area for action.

Requests for Assistance with an Emergency that are Uploaded through NYDocSubmit:

Individuals are advised in the Application's "Disclaimer" that the Application is not monitored for emergencies and that the individual should contact the district directly to request assistance with an emergency or immediate need. However, districts should follow existing procedures to address a request for emergency assistance within required timeframes should an individual inadvertently upload documentation to request the district's assistance to address an emergency or immediate need.

VI. Systems Implications

Staff must be authorized and assigned at least one role by the participating district before accessing the OSI. As previously noted, the functions that a district staff person will be able to perform in the OSI are dependent on the role(s) assigned by the participating district. Additionally, as stated above, a district user's ability to suppress/unsuppress and view suppressed documents in the OSI will be specifically limited to individuals who have been granted the district supervisor role and suppressor role by the participating district.

The OSI will be used by district staff that have been granted access by the participating district to access, review and, if authorized, process documents that have been uploaded to that district through the Application.

Documents that are uploaded through the Application and available through the OSI will be accessible through the "Document Search and Retrieval" screen in the OSI. Documents that are indexed by a participating district will be stored and viewable in I/EDR provided that the district has not deleted the document from I/EDR after indexing.

Participating districts will only be able to access and review documents and their associated metadata for documents in the OSI that have been transmitted to that district based on the district selected by the individual at the time that the document is uploaded.

VII. Additional Information (Optional)

A. On-Site Imaging Worker Portal Training

Training on how to use the OSI is under development and will be available to district staff in the pilot districts. The training will target all district staff responsible for retrieving documents from

the OSI and indexing the documents to I/EDR, as appropriate and those who supervise staff who will perform these functions. District supervisors and administrators will be provided training for the various oversight functions and the management reports available through the OSI.

Training objectives will include: accessing the OSI, identifying and retrieving documents, assigning a document status, validating and indexing documents to the appropriate case, I/EDR document categories and I/EDR document types. Additionally, district supervisory staff who are assigned the district supervisor role will learn how to access the OSI to perform administrative functions including suppressing and unsuppressing documents and generating district reports.

Additional information regarding training for districts that opt into Phase 2 will be provided as part of the onboarding process.

B. Informational Material

- A Quick Reference Card (QRC) has been developed as a resource for participating districts' staff. Participating districts should distribute a copy of the attached QRC to all staff who have contact with individuals who apply for or receive benefits or receive and/or distribute documents that are submitted by an individual for one or more of the programs identified above.
- A NYDocSubmit promotional "palm card" has also been developed and is provided to districts as part of the onboarding process. Participating districts are encouraged to use the palm card to help inform applicants and recipients of the availability of the Application.

Questions regarding NY.gov or other questions regarding the NYDocSubmit mobile application may be directed to the ITS Service Desk by:

Phone: (844) 891-1786

E-mail: fixit@its.ny.gov

VIII. Effective Date

March 24, 2020

Issued By:

Name: Jeffrey Gaskell

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Division/Office: Employment and Income Support Programs/Office of Temporary and Disability Assistance

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Title: Executive Director

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