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Administrative Directive Memorandum

Section 1

Transmittal:	19-ADM-07
To:	Social Services District Commissioners
Issuing Division/Office:	OTDA Employment and Income Support Programs DOH Office of Health Insurance Programs
Date:	June 21, 2019
Subject:	Implementation of Phase 1 of the NYDocSubmit Mobile Application
Suggested Distribution:	Temporary Assistance (TA) Directors Supplemental Nutrition Assistance Program (SNAP) 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 at: (518) 474-9344 SNAP Policy Questions: SNAP Bureau at: (518) 473-1469 HEAP Policy Questions: HEAP Bureau at: (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:	[NYDocSubmit Quick Reference Card](#)
Attachment Available Online:	☐

Filing References

Previous ADMs/INFs	Releases Cancelled	Dept. Regs.	Soc. Serv. Law & Other Legal Ref.	Manual Ref.	Misc. Ref.
17-OCFS-ADM-15		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

Section 2

I.   Summary

This Administrative Directive Memorandum (ADM) informs social services districts (districts) of the development of the NYDocSubmit mobile application (Application) for mobile devices and provides information on Phase 1 implementation.

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 Team 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 (ITS) to develop the capability for individuals to submit documents using a mobile device.

This new Application is available to districts on an opt-in basis and will be implemented in two phases. Phase 1 implementation is for districts that do not use the Imaging and Enterprise Document Repository (non-I/EDR) for electronic case records. Districts that use I/EDR may opt to use this Application when Phase 2 is implemented in early 2020. A separate ADM will be issued to inform districts of Phase 2 prior to implementation.

Phase 1 implementation was initially introduced as a pilot in Broome and Chemung counties, in late Fall of 2018. Following the successful pilot, the Application was also deployed in Clinton and Livingston counties in February 2019 and is now available to other non-I/EDR districts. The Application has been translated and is available in the following languages: English, Spanish, Bengali, Chinese (Traditional), Korean and Russian.

Non-I/EDR districts that opt-in to Phase 1 implementation provide households residing in their district with an additional method for submitting documentation to support the household's initial application or continued eligibility for Supplemental Nutrition Assistance Program (SNAP), Temporary Assistance (TA), and/or Home Energy Assistance Program (HEAP). Individuals that live in a Phase 1 opt-in district may also submit documentation for certain Medicaid (MA) cases, as described below.

II.   Purpose

The purpose of this ADM is to provide information on Phase 1 implementation of the NYDocSubmit mobile application to non-I/EDR districts. The ADM is informational only for districts that use I/EDR for electronic case records.

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), or an individual may submit documentation to report a change in circumstances to the district. The current methods used by an individual to submit documents to a district include: (a) visiting their district office and handing in a hard copy or scanning via a kiosk, if available, (b) sending in via fax machine, or (c) sending through the U.S. Postal Service. In districts that use I/EDR, document images may also be submitted via 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 development of a mobile application to submit documentation to a district was requested by the IES Social Services District Workgroup. 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 has been 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 have been requested by the district or are submitted to report and verify a change to the district in a timely manner. Implementation of the Application will also provide participating districts with the ability to electronically receive document images.

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 his/her mobile provider. The individual is solely responsible for any data access, messaging, and other service rates and charges that the individual may incur in connection with his/her mobile device and use of the Application.

Requirement to Use the Latest Version of Application

While use of the Application to send document images to a participating district is optional, the Application requires individuals to use the latest version of the Application to successfully upload document images. Individuals with "auto update" enabled on their mobile device should automatically receive Application update releases. Individuals who do not have "auto update" enabled will need to download the latest version of the Application from their preferred mobile app store to successfully transmit a document image to a participating district.

When an attempt is made to upload a document image using an earlier version of the Application, a generic "Upload Failed" screen (for those with Releases 1.0 or 1.1), or a specific screen that indicates that there is a new version of NYDocSubmit available and to update the Application now (for Releases 1.2 or later) will appear in the Application.

NYDocSubmit Log In

An individual will be required to use his/her NY.gov account to log in to the Application. If the individual does not have a NY.gov account, he/she 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

After launching the Application, the individual may select his/her preferred language from the following list: English, Spanish, 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. If the mobile device is set to a language not included in the six languages referenced above, 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 left corner of the screen.

Terms of Use and Disclaimer

The first time an individual accesses the Application, he/she 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. A copy of the "Terms of Use" is also available 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-in to the Application, he/she 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. The "Disclaimer" also informs the individual that the Application should not be used to submit an application for assistance/services or a periodic report; the Application is not monitored for emergencies; and reminds the individual of his/her responsibility to provide documents in the timeframe designated by the district.

History Screen

Individuals who log in to the Application may access a history screen that includes information associated with document images that were uploaded under that NY.gov ID within 60 days from the date of the document image upload (see information below for uploads that failed). The history screen does not display the document image. It includes the name of the district that the document image was sent to, the document category selected, the date and time of upload, and the tracking number assigned by the Application for each document image uploaded. The information displayed on the history screen is based on the NY.gov ID login and may include document images 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. They must also select a program area and a document category before taking steps to upload a document image.

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

The document category is selected from the following list of document categories available in the Application: identity/age, residence, proof of who lives in your household, Social Security Number (SSN)/proof of SSN application, citizenship or current alien status, income, resources, shelter/utility expenses, medical documentation 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 left corner of the screen. However, districts should note that the document image being uploaded is not dependent on the document category selected by the individual.

Individual Identifying Information

The Application will use information provided at the time of log in to identify the name of the individual that logged in to the Application. The Application will associate the document image that is uploaded with the log in identifying information provided at the time of transmission. However, the identifying information may be changed to reflect that a different individual is associated with the document image by modifying the identifying information fields before

transmitting the document image. For example, the individual may change the identifying information when submitting document images 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 program, document category selected and the identifying information associated with document uploads that are successfully received by the state data center (see information provided below) will be part of the information (metadata) provided to districts. This metadata will assist districts in performing a WMS inquiry on all document images, as needed, to associate the document image to a pending application or existing case(s). Districts should then manually index and assign the document images to the appropriate program area for review/verification and processing. As is current district practice, when documents are received in the district, a WMS Inquiry must be performed, as needed, to associate the documents to a pending application or existing case(s) and to route the documents to the necessary program area(s).

Review of Document Images and Associated Information

The Application provides an opportunity for the individual to review each document image and to confirm the information entered by the individual 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 completing the transaction and uploading the document to the selected district.

Transmission of Document Images

There are two steps that must occur before an upload is complete and the document image is temporarily stored in the state-owned repository and available for retrieval by the district.

The first step is that the document must be received by the state data center. A confirmation screen will appear in the Application if the document image is received by the state data center. The confirmation screen includes the tracking number, name, upload date and time, and 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 image 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 image. If the document is not received by the state data center due to the closure of the Application before the transmittal is complete, no confirmation screen will appear in the Application, no document image 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 image until the confirmation screen appears.

The second step is that the document image must successfully pass the virus scan. Document images that successfully pass the virus scan and their associated metadata will be temporarily stored in the state-owned repository and retrievable by the district. However, document images that do not pass the virus scan will not be stored in the state-owned repository, as described below. In such situations, only the metadata will be stored and retrievable by the district. Districts are strongly encouraged to review transmissions daily and to note instances of receipt of metadata-only (see Section V. Required Action for additional information on the steps that districts must take when only metadata is received indicating that a document image did not successfully pass the virus scan).

Individuals are advised by the confirmation screen that document images 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 image was transmitted through the Application, received by the state data center, but subsequently did not pass the virus scan.

Document Image 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 image 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 image upload failed.

Closing the Application

An individual should use whatever function his/her 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 that the transmission has completed.

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 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, MA, SNAP or HEAP. Districts should note that an individual will be able to upload any document image, 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 document images through this Application must review, verify and act on this information 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 Service 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 document images 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 New York 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

Non-I/EDR districts that are interested in opting into the Application during Phase 1 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.

Districts that opt to participate in Phase 1 must set up a service to electronically retrieve document images and their associated metadata on a regular basis. The service to electronically retrieve document images is separate from the procedure that districts establish to route and process documents received by the district, as described herein. Metadata for a document image that is submitted through the Application may include the identifying information entered by the individual, such as name, program area, case number, SSN, CIN, DOB, phone number, document category selected, document tracking number assigned by the Application and the date and time that the document image was uploaded through the Application.

The document images and metadata will be temporarily stored in the state-owned repository before the document images are retrieved by the district and associated by the district to a pending application or existing case(s) by performing a WMS inquiry, as needed. District staff must distribute retrieved document images and/or metadata to the appropriate program area for review and processing, as described below.

Indexing and Assigning Document Images

Districts that participate in Phase 1 of the Application, at a minimum, are strongly encouraged to distribute document images that have been retrieved from the state-owned repository to the appropriate program area(s) 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 1 should review and adjust, as needed, existing procedures for distributing and processing documents. Document images 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 document images are valid and meet program documentation requirements. Districts are encouraged to review and verify document images prior to indexing.

Districts must use existing procedures to address document images 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 or a myWorkspace-generated Required Documentation Report (LDSS-2642 EL) to inform the individual that documentation submitted through the Application is not legible and 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 document images 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 (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 is selected when indexing the document into the electronic case record.

Note: Document images 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.

Document Images That Do Not Pass Virus Detection

Participating districts will receive metadata ONLY for document images that did not pass the virus scan. Districts are strongly encouraged to perform, each business day, a review of the metadata of document images that did not pass the virus scan and to inform the involved program area(s) to conduct follow-up with the household, prior to negative action being taken on the case related to the submission of required documents. All information regarding document images 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.

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 member of his/her household 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. 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, 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.

Misdirected Document Images

As described earlier in the Background section, 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 document images 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.

VI. Systems Implications

For Phase 1, document images that are electronically transmitted through the Application will be temporarily stored in a state-owned repository for 60-days from the date that the service to retrieve the document image and associated metadata is initiated by the district. Data to identify the date and time that each document image is submitted, the district selected, identifying information provided by the individual and the tracking number assigned by the Application will also be logged and stored.

Note: A participating district will only be able to retrieve document images and their associated metadata that are designated in the state-owned repository for that district. The service initiated by the district to retrieve document images and their associated metadata from the state-owned repository will use the district selected by the individual at the time of transmission to identify the document images and associated metadata that will be sent to complete that district's service request.

The service includes an accompanying user interface that allows a designated district representative to retrieve document images on an ad hoc basis based on, for example, a date range or a tracking number, during the 60-day retention period that the document image is temporarily stored in the state-owned repository.

The document image will be purged at the end of the 60-day period and will no longer be available to the district through the state-owned repository. After the 60-day period, the district will need to contact the individual to request that the document image be resent to the district if the document image was not retained by the district and is needed as part of the case file.

Details regarding establishing this service will be provided as part of a district's onboarding process as part of Phase 1 Application implementation.

VII. Additional Information

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 may 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

Immediately.

Issued By
Name: **Jeffrey Gaskell**
Title: **Deputy Commissioner**
Division/Office: **Employment and Income Support Programs/Office of Temporary and Disability Assistance**

Issued By
Name: **Donna Frescatore**
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