

Transfer of Documents when Changing Providers: Guidelines for Agencies January 2020

The intent of these guidelines is to assure the timely transfer of service records when an individual is transferring from one agency to another so the receiving agency can obtain the necessary records on a timely basis.

Consistent with applicable confidentiality requirements, all essential documents from the individual's record maintained by a Designated Agency, Specialized Service Agency or Transition II must be sent upon request to the receiving agency within ten (10) calendar days of the request for records, or at the time of transfer, whichever comes first.

These documents include:

1. Emergency Fact Sheet
2. Person's Story and subsequent updates
3. Court documentation of Guardianship Decision (most current)
4. Assessments and evaluations supporting eligibility and relating to services
5. Needs Assessment/Periodic Review

6. Individual Support Agreement and all Attachments, Reviews and Changes
7. Home Provider/Respite Worker Disclosure Form (“Peggy’s Law”)
8. Home and Community-Based Services Eligibility Form
9. Notification of Transfer

All remaining documents in the individual’s record, required to be maintained according to the sending agency’s record retention requirements, must be transferred to the receiving agency within 30 calendar days from the date of transfer.