



## TRANSFERRING FILES TO OTHER PROVIDERS

Department: Office of Economic & Workforce Development

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### Overview

In the current One Stop service system, adult participants are often served by several different providers, depending on the activities in which they are participating. The following procedure outlines the requirements for moving participant information/files from one provider to another and the expectations around the timeliness for doing so.

### Original Documents vs. Copies

The Provider “sending” files will always maintain any original documents they obtained as part of the services they provided to the participant. Only copies are to be sent to the “receiving” provider. If OEWD or EDD conduct an audit, the Provider providing a given service is expected to have original signatures on any documents related to the services they provided. It is important to note that, when transferring a file to another provider, the entire file is to be forwarded – meaning all documents contained in the file including those documents obtained from any activities *prior* to your services and all case notes.

**Example:** A file being transferred to the Business Services provider (for job placement services) would contain copies of all documents from the point of entry - enrollment, assessment, intensive services). By the time a file reaches the Retention provider, Retention staff will have a file reflecting the participant’s complete service flow and all activities in which they participated.

### Means of Forwarding Participant Files

Files may be forwarded to another provider in any of the following ways:

- Email: File documents may be scanned and sent to the next provider as email attachments. This is probably the safest means of ensuring no files will be lost en route.
- Fax: File documents may be faxed to the next provider. When sending files by fax, it is recommended that the “sender” follow up with the “receiver” to ensure the fax arrived successfully.
- Mail: Copies of file documents may be sent via the US Postal Service. Providers must be mindful of the number of days it will take for the next provider to receive the delivery to ensure the time does not exceed the allowable timeframe for transferring files.

- Hand Delivery: It is always acceptable to hand deliver copies of files to another provider. It is, however, suggested that files never be left with another provider's reception staff. Doing so does not ensure that the file will get to the appropriate contact and/or that it will get to that person within the required timeframe.

Whichever means of transferring files is chosen, providers are cautioned to make sure they know the appropriate contact at the receiving agency and that the method chosen will allow the files to arrive within the prescribed timeline as this is a performance/compliance issue.

### Timeline

In order to most effectively serve participants and to ensure that any necessary paperwork is completed in a timely fashion, files must be transferred to the next provider as soon as possible. In any case, files must arrive at the provider's place of business **within three (3) business days** of the time the participant has completed service with a given agency. Any provider not consistently transferring files in a timely fashion will be subject to corrective action that may result in withholding of funds as outlined in each grant agreement.