

North Carolina Infant-Toddler Program Procedural Guidance

Reference: Procedural Safeguards Policy

Records Transfers between CDSAs for Enrolled and Referred Children

Introduction

A child enrolled in the N.C. Infant and Toddler Program (ITP) will sometimes move from the catchment area of one Children’s Developmental Services Agency (CDSA) to another while continuing ITP enrollment. This is considered a transfer within the program, and special efforts by the involved CDSAs related to records and data must be taken to promote a smooth transition to the new CDSA where the child and family will continue to receive the ITP services specified by the IFSP. Every effort must be made by both the sending and receiving CDSA to minimize disruption in services.

This procedure describes the necessary responsibilities and steps the CDSAs involved in coordinating the transfer of records and data for an enrolled child moving from one CDSA (**sending CDSA**) to another CDSA (**receiving CDSA**) must take to ensure continuity. An abbreviated checklist for the **sending CDSA** and the **receiving CDSA** is included at the end of this procedure as Attachments 1 and 2, respectively.

This procedure only applies to transfers between CDSAs of children who are already enrolled in the ITP. For guidance on transfers for children still in the referral process but not yet enrolled, please see the ITP’s Referral Process procedures.

Procedure

1. CDSA Contact for Transferring Records. Each CDSA must identify an individual to serve as the *records contact person* for the agency. The records contact person should have a district administrator or state administrator role in BEES. The records contact person from the **sending CDSA** will be responsible for coordinating the transfer of records with the records contact person from the **receiving CDSA** to ensure that the information needed to continue the child’s services in the new catchment area is available and timely. To identify the CDSA records contact person, a CDSA should refer to the Records Transfer Contact List that is maintained by the EI Section (Section) and shared with CDSAs as updates occur. The list includes the name of each CDSA records contact person and his or her phone number and email address. **Note:** If a CDSA needs to update the Records Transfer Contact List, it should send the change request to the EI Section.
2. Notification of Transfer. The **sending CDSA** must inform the **receiving CDSA** about the child to share information such as ACP, foster parent redaction and other pertinent information.

If a child is referred to a CDSA and searching for the child in BEES indicates that the child has been

served by another CDSA, the receiving CDSA contacts the sending CDSA to request the child's records be transferred in BEES.

3. Record/Information Sharing for children who are not entered in BEES. The child's original paper records are to be kept at the **sending CDSA**. A **copy of the following documents from the child's CDSA** records shall follow the child to the new CDSA.
 - **Service records** include copies of all client records created on the child including but not limited to the determination of eligibility documentation, most recent IFSPs review, and applicable medical records (that specify established condition).
 - **Child Outcome Summary (COS):** The **sending CDSA** must provide a printed copy of the initial COS to the **receiving CDSA**. The **sending CDSA** may print the initial COS from the *Chart View of the child's record in HIS*.
4. Record Sharing for children referred prior to BEES with a paper record. Sending CDSA should send copies (or upload into BEES with the exception of the financial forms) of the following information from the child's paper record within 1 week or before transferring in BEES.
 - **Financial Records** include copies of the "*Financial Data Collection Form*," "*Insurance Information Worksheet*," and the "*Financial Review and Hardship Adjustment Application*." The **sending CDSA** must provide the **receiving CDSA** timely copies of these financial records and should be available to answer questions from the **receiving CDSA** about the family's *Sliding Fee Scale (SFS) determination*. The family's personal financial information (e.g., pay stubs, tax forms) that was submitted to the **sending CDSA** for the purpose of SFS determination is confidential and has a time limited purpose. Copies of personal financial information must not be released to any entity, including other CDSAs, without parental request and written consent.
 - Assistive Technology Loan Records include copies of the Assistive Technology Loan Agreement forms and the Assistive Technology Return/Transfer forms for any equipment being used by the child at the time of transfer. The sending CDSA must provide a printed copy of the initial Assistive Technology Loan Agreement form and the Assistive Technology Return/Transfer forms, to place in the child's record.
 - **Service records** include copies of all client records created on the child including but not limited to the referral form, and appropriate medical records (if not already uploaded). If available, send the **receiving CDSA** copies of current assessment tools and data collected to monitor the child's ongoing development and progress. Medical records received from other agencies or providers are not to be sent to the **receiving CDSA** unless specifically requested. If available, send the **receiving CDSA** copies of current assessment tools and data collected to monitor the child's ongoing development and progress.
5. Record Sharing for children who are directly entered in BEES at referral with no paper record.
 - **Financial Records** include copies of the "*Financial Data Collection Form*," "*Insurance*

Information Worksheet,” and the “*Financial Review and Hardship Adjustment Application.*” The **sending CDSA** must provide the **receiving CDSA** timely copies of these financial records and should be available to answer questions from the **receiving CDSA** about the family’s *Sliding Fee Scale (SFS) determination*. The family’s personal financial information (e.g., pay stubs, tax forms) that was submitted to the **sending CDSA** for the purpose of SFS determination is confidential and has a time limited purpose. Copies of personal financial information must not be released to any entity, including other CDSAs, without parental request and written consent.

6. Individualized Family Service Plan (IFSP). A child’s eligibility and enrollment status in the NC ITP program does not change when a family moves to a different county or catchment area within North Carolina.
 - a) To best facilitate continuation of services in the new catchment area, the **sending CDSA** must ensure that the IFSP is current and that it outlines the ongoing services that the family should continue to receive in the new catchment area.
 - o Services should not be ended by the sending CDSA. If the receiving CDSA is unable to make contact with the family or the family chooses not to continue the service the most recent IFSP in BEES should be unlocked and end-date any open services the family does not want to continue.
 - b) Current IFSP will be accessible in BEES

7. Data System. Follow the instructions below to address the data entry requirements for children who are transferring:
 - a) **Sending CDSA:**
 - o In addition to writing an exit note in the communication log in BEES, if the LEA/PSU notification has already been sent, the sending CDSA must notify the LEA/PSU that the child has moved out of their catchment area.
 - o The sending CDSA assure all information in BEES is up to date (including service logs).
 - o An updated Referral form with the new address may be uploaded into BEES prior to transfer.
 - o A district administration or state administrator will go to the transfer screen in BEES select district to transfer to from the drop down and select “transfer now.”
 - b) **Receiving CDSA:**
 - o The district administrator or state administrator will go to transfer pending consents on their district administrator dashboard, select the child from the drop down to transfer them to their CDSA. Once they select the child it will open demographic screen and assign a service coordinator.
 - o Assignment of Service Coordinator. The **receiving CDSA** must ensure the designation of a Service Coordinator, who will see that the IFSP is updated with the family to reflect

service delivery in the new catchment area and ensure that the service coordinator assignment is entered into BEES.

- For children whose families agree to services at the **receiving CDSA**, enter the **IFSP** as either an “Requested Review” or as an “Annual” or “Semi-Annual” review if either of these is due when the child transfers to the **receiving CDSA**. If there are no changes made to the IFSP during the Requested Review, no parent signature is needed. An updated copy of the IFSP should be given to the family.
- If the family chooses not to continue to receive services at the new CDSA, the receiving CDSA should enter the exit date and reason on the transition/exit screen in BEES. Exit COS should be completed by the receiving CDSA based on record review.
- Since continuing services were started by the **sending CDSA**, the 30-day timeline does not apply to these services for the **receiving CDSA**; however, the **receiving CDSA** must start the continuing services as soon as possible to minimize disruption of the plan. For any new services added to the IFSP by the **receiving CDSA**, the 30-day timeline still applies.

TOPIC	CHECKLIST FOR THE <i>SENDING</i> CDSA WHEN TRANSFERRING AN ENROLLED CHILD TO ANOTHER CDSA WITHIN NORTH CAROLINA
Notifying the Receiving CDSA of Transfer	<ul style="list-style-type: none"> □ Coordinate the secure transfer of records and data to the receiving CDSA with the CDSA’s records contact person. Refer to the Records Transfer Contact List to identify the records contact person at the receiving CDSA. If you do not have the Records Transfer Contact List, contact the EI Section to obtain a copy. Use the Record Contact list to share pertinent information such as foster parent redaction or Address Confidentiality Program
IFSP	<ul style="list-style-type: none"> □ Ensure that the child’s IFSP is current and includes all the services that the family plans to continue after transferring to the receiving CDSA.
Planned Services	<ul style="list-style-type: none"> □ Do not end any service in BEES that is active.
Initial COS	<ul style="list-style-type: none"> □ Ensure that the child’s initial COS is complete and is entered into BEES. □ If initial COS is not currently in BEES, Make a copy of the child’s initial COS for the receiving CDSA. □ Do <u>not</u> prepare an exit COS for a child who is transferring to another CDSA. The receiving CDSA will complete the exit COS when the child discharges from the program.
Records Contact	<ul style="list-style-type: none"> □ Coordinate the secure transfer of records and data to the receiving CDSA with the CDSA’s records contact person. Refer to the Records Transfer Contact List to identify the records contact person at the receiving CDSA. If you do not have the Records Transfer Contact List, contact the EI Section to obtain a copy.
Transferring Records to the Receiving CDSA	<ul style="list-style-type: none"> □ Keep the child’s original records at the sending CDSA. Do <u>not</u> transfer them to the receiving CDSA. □ Do <u>not</u> release copies of the family’s personal financial information (e.g., pay stubs, tax forms) to any entity, including to other CDSAs, without parental request and written consent. □ Do <u>not</u> release copies of medical records received from other agencies or providers unless specifically requested. Note: This does not apply to developmental and specialty evaluations that were used to determine program eligibility and to develop the child’s IFSP. □ If not already uploaded or housed in BEES, Send a <u>copy</u> of the child’s records (financial, service, and COS) to the receiving CDSA: <ul style="list-style-type: none"> ○ Financial Records include copies of the “Financial Data Collection Form,” “Insurance Information Worksheet,” and the “Financial Review and Hardship Adjustment Application.” ○ Service records include copies of all client records created on the child, including but not limited to the referral form, all evaluations, determination of eligibility documentation form, IFSPs (including all IFSP reviews), service notes, provider notes, and other relevant records such as current assessment tools and data that have been collected to monitor the child’s development and progress. Also include a printout of the Accounting of Disclosures screen from HIS if used. ○ Initial COS – ensure that the initial COS is entered into HIS, and that a paper copy of the initial COS is copied or printed from HIS Chart View and sent to receiving CDSA. ○ Assistive Technology records include copies of the Assistive Technology Loan Agreement forms

	<p>and the Assistive Technology Return/Transfer forms for any equipment being used by the child at the time of transfer. Although the EISC is to submit the completed Return/Transfer form to JIRDC, copies of these documents should be sent to the receiving CDSA to be placed in the child's record.</p>
<p>Prior to Transfer screen submission</p>	<p>□ Ensure that all relevant and available data have been entered into BEES, e.g., LEA notification, TPC date, transition plan date, service start dates and end dates, reasons for delay, service notes, IFSP and IFSP review data, initial COS data, evaluation and assessment data, service coordinator assignments, etc. Once chart has been transferred, the sending CDSA will no longer have access to the chart. A District Administrator is required to complete the transfer</p>

ATTACHMENT 2

TOPIC	CHECKLIST FOR THE <i>RECEIVING</i> CDSA
Notification of Transfer	<ul style="list-style-type: none"> <input type="checkbox"/> Receive notification of transfer from the sending CDSA.
Records Contact	<ul style="list-style-type: none"> <input type="checkbox"/> Coordinate the transfer of records and data with the sending CDSA's records contact person. Refer to the <u>Records Transfer Contact List</u> to identify the records contact person at the sending CDSA. If you do not have the Records Transfer Contact List, contact the EI Section for a copy.
Records Transfer	<ul style="list-style-type: none"> <input type="checkbox"/> If applicable and child still has a paper chart and documents are not uploaded into BEES, Receive a <u>copy</u> of the child's records (financial, service, and COS) from the sending CDSA, and set-up record keeping according to local procedures: <ul style="list-style-type: none"> ○ Financial Records include copies of the "Financial Data Collection Form," "Insurance Information Worksheet," and the "Financial Review and Hardship Adjustment Application." Original financial documents collected at the time of enrollment and any annual updated documents are confidential and will be held by the sending CDSA, unless there is a request and parent consent. ○ Service records include copies of all client records created on the child, including but not limited to the referral form, all evaluations, determination of eligibility documentation form, IFSPs (including all IFSP reviews), service notes, provider notes, and other relevant records such as completed ongoing assessment tools and data. Initial COS – The sending CDSA will enter the initial COS and will provide a printed copy of the initial COS to the receiving CDSA. The receiving CDSA should <u>not</u> re-enter the initial COS into BEES.
Financial Records & SFS Determination	<ul style="list-style-type: none"> <input type="checkbox"/> Make a notation in the child's financial record that the family's SFS percentage was determined prior to transfer and that the original financial documents were maintained by the sending CDSA. <ul style="list-style-type: none"> ○ The receiving CDSA must obtain new financial information and update the SFS determination: <ol style="list-style-type: none"> 1) when the family's financial situation has changed, 2) when it is time for the family's annual SFS review, and 3) when the child has moved to the catchment area to live with a new family that will have financial responsibility for the child. In a case such as this, the receiving CDSA must have the new family complete all financial forms.
EISC Assignment	<ul style="list-style-type: none"> <input type="checkbox"/> Designate a Service Coordinator who will see that the IFSP is updated with the family to reflect service delivery in the new catchment area. Enter the assigned Service Coordinator into BEES
IFSP Update & Continuing Services	<ul style="list-style-type: none"> <input type="checkbox"/> Update the IFSP to include new service providers and other changes, as appropriate. Enter the required IFSP updates in Planned Service screen and other appropriate BEES screens <ul style="list-style-type: none"> ○ Begin services as soon as possible. Since continuing services were started at the sending CDSA, the 30- day timeline does not apply to these services; however, the receiving CDSA must start the continuing services as soon as possible to minimize disruption of the plan. ○ For any new services added to the IFSP by the receiving CDSA, the 30-day timeline still applies and, if needed, an appropriate response should be selected from the <i>Reason for Delay</i> drop-down menu

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TOPIC	CHECKLIST FOR THE <i>RECEIVING</i> CDSA
BEES Data Entry	<ul style="list-style-type: none"> ○ Update Demographic screen and Parent screen ○ Assign Service Coordinator ○ Complete IFSP review. Select the <i>IFSP Type</i> as either an “Requested Review” or as an “Annual” or “Semi-Annual” review if either of these is due when the child transfers to the receiving CDSA. ○ Continue to calculate the <i>Next Review Date</i> based on the date of the <u>initial</u> or most recent annual IFSP, which was developed by the IFSP team at the sending CDSA. ○ The <i>Plan Signature Date</i> is the date that the receiving CDSA and the child’s family sign the updated IFSP. ○ <u>Note</u>: Do not re-enter the initial IFSP and IFSP reviews that were completed by the sending CDSA. ○ Edit Planned Services Screen with new providers <p>□ Initial COS.</p> <ul style="list-style-type: none"> ○ Do <u>not</u> re-enter the initial COS in BEES. This should have been entered by the sending CDSA. If child has paper chart, narrative may not have been migrated to BEES and paper copy to be sent from sending CDSA.