



Policy Title:	Transfer of Cases, Records and Security
Policy #:	03-002-0065
Effective Date:	11/26/2024
Approved by:	Telly Delor, Chief Operating Officer
Functional Area:	Program Operations
Responsible Leader:	Kathleen Gallagher, Chief Clinical Officer
Policy Owner:	Kristen Thompson, Adult Services Director
Applies to:	ALL SCCCMH Staff, All Directly Operated Programs, Contracted Network Providers

Purpose: To provide guidelines and procedures for the transfer of case *records* of persons served to other programs and agencies to promote continuity of care and ensure the case record is complete and up to date.

I. Policy Statement

It is the policy of St. Clair County Community Mental Health (SCCCMH) to transfer case records of persons served to other programs and/or agencies within the public mental health system in a coordinated and consistent manner that promotes continuity of care and assures case record is complete and up to date.

II. Standards

- A.** Adult transfers that occur as part of the initial entry process do not have to complete form [#0041 Program Placement /Transfer Meeting](#), however at time of transfer following initial admission, form [#0041C Program Placement/Transfer Meeting - Transfer Checklist](#) should be completed.
- B.** Neglecting to maintain security of case records will result in corrective/disciplinary action. The degree of corrective/disciplinary action imposed is determined upon the severity of the offense.

III. Procedures, Definitions, and Other Resources

A. Procedures

Responsibilities

Position	Responsibilities
Current Caseholder	Initiate transfer process and assure record is prepared for transfer.
Receiving Caseholder	Prepare to accept case and adjust plan as needed.
Supervisor	Assure case transfer/case acceptance is clinically appropriate.
Placement Coordinator	Assist team with successful placement in residential setting, as needed.

Actions – Program Transfer Process

Action Number	Responsible Stakeholder	Details
1.0	Current Caseholder	<ol style="list-style-type: none"> 1. Identify the need and desire for the individual to transfer to another agency/program in order to best meet the individual's needs. 2. Meet with their supervisor to discuss the need for transfer of individual to another program. A case consultation is completed and given to supervisor of receiving program. 3. Provide a case consultation note to the Placement Coordinator if person requires a specialized group home.
2.0	Receiving Program Supervisor/Designee	<ol style="list-style-type: none"> 4. Review case consultation and requests more information if needed. Verbal consultation among transferring/receiving supervisors is also recommended. 5. Make the determination for transfer or further consultation. 6. Determine new Caseholder and assign the case. 7. Note on the form the determination made.
3.0	Placement Coordinator (if licensed residential group home is needed)	<ol style="list-style-type: none"> 8. Notify Caseholder of bed availability and makes recommendations if person requires group home placement. 9. Provide Caseholder information of what the group home will need at the time of placement meeting including required documentation. 10. Contact necessary group home staff and appropriate unit Supervisor about possible placement and arrange a placement meeting with all necessary parties.

Action Number	Responsible Stakeholder	Details
4.0	Caseholder	<ul style="list-style-type: none"> 11. Continue with responsibility for ongoing treatment until the transfer is complete and case is “handed off.” 12. It is the responsibility of the current Caseholder to make sure the chart is up to date and complete. Form #0041C Program Placement/Transfer Meeting- Transfer Checklist may be completed by the team or at the request of the receiving team during this process. 13. Arrange a transfer meeting and complete transfer form #0041 Program Placement/Transfer Meeting with new Caseholder, individual and any other necessary individuals (i.e. guardian). 14. Chair the group home placement meeting, if person requires a licensed residential setting (the Placement Coordinator will arrange the placement meeting). 15. New Caseholder complete an amendment to add updated goals, objectives, interventions, and authorizations. Obtain signature of everyone who is present at the meeting. 16. Ensure completed transfer form #0041 Program Placement /Transfer Meeting and checklist are scanned into the case record. Once transfer is complete, previous Caseholder is closed within OASIS. 17. New Caseholder ensure Information Systems are updated in Oasis Demographics

Actions – Case Record Transfer Process

Action Number	Responsible Stakeholder	Details
1.0	Program Supervisor/Designee	<ul style="list-style-type: none"> 1. Open individual to the new program and new Caseholder in OASIS.

B. Related Policies

N/A

C. Definitions

1. *Records*: Any case or administrative records, including hardcopy or electronic media.

D. Forms

[#0041 Program Placement /Transfer Meeting](#)

[#0041C Program Placement/Transfer Meeting - Transfer Checklist](#)

E. Other Resources (i.e., training, secondary contact information, exhibits, etc.)

N/A

F. References

N/A

IV. History

- Initial Approval Date: 12/1987
- Last Revision Date: 10/2024 BY: Kristen Thompson
- Last Reviewed Date: 09/2023
- Non-Substantive Revisions: N/A
- Key Words: transfer, cases, program, placement