

**STATE OF CONNECTICUT
DEPARTMENT OF DEVELOPMENTAL SERVICES**

Procedure No. I.C.1.PR.004

**Subject: Regional Responsibility for Service Delivery -
Transfers Between Regions**

Section: Services and Supports, Case Management/Broker Services

Issue Date: July 30, 2003

Effective Date: Upon release

Revised: November 30, 2008

A. Purpose

The purpose of this procedure is to establish a consistent approach for implementation of Regional Responsibility for Service Delivery Policy clarifying the responsibilities of regional staff when an individual is transferring to another region.

B. Applicability

This procedure shall apply to all individuals who are eligible for DDS services.

This procedure shall apply to case managers, case manager supervisors and all other staff who determine and ensure regional responsibility for service delivery.

C. Definitions

See Case Management Definitions at the beginning of this section.

D. Implementation

Each DDS region is responsible for providing services to persons found eligible to receive services who are living in that region, except in circumstances specifically identified in the Regional Responsibility for Service Delivery policy. In circumstances where someone has moved or wishes to move to another region, the following procedure will be followed:

The case manager shall initiate the transfer of regional responsibility for service delivery process when:

- a. an individual wants to move to a town served by another DDS region and has DDS residential and or day services or a decision has been made to support a move and resources have otherwise been identified and secured;
- b. an individual on the waiting list or planning list moves to another region;
- c. any person living independently, with his or her family, or in any residential program not operated or funded by DDS (e.g. Long Term Care facility) moves from one region to another.

1. Transfer of Regional Responsibility for Service Delivery Process

The transfer of regional responsibility for service delivery process shall include the following actions:

- a. In all situations when a transfer will occur, the current case manager will complete a Case Transfer Request form and submit it to his or her case management supervisor for approval along with the current individual plan, individual plan – short form, or follow-along plan, including a printout of the eCAMRIS Client Summary Report. The case management supervisor shall send these forms to the applicable case management supervisor in the receiving region within 10 business days.
- b. The receiving supervisor of case management will identify a new case manager within 10 business days of receipt of the Case Transfer packet and shall notify the sending case management supervisor on the Case Transfer Request form.
- c. Case managers from the respective regions will engage in transition planning. At least one transition meeting will be held. The Transition Planning Checklist shall be completed for individuals moving between or into DDS-funded or operated residences and may be used for other individuals who change residences. For individuals moving between or into DDS funded, or operated residences, the sending case manager shall ensure the individual has an

updated Transition Plan, including a current IP.6 that describes the services to be received as a result of the move.

- d. The sending case management supervisor will review the master file/individual record to ensure accurate and up to date information (following the Master File/Individual Records Procedure) prior to transferring the file. Open Protective Services Plans will be reviewed on a case by case basis but if there is no plan for an individual to return to the previous region, the case will still be transferred.
 - e. The sending case management supervisor will update the automated data system information with the new case manager assignment.
 - f. The sending case manager is responsible to complete the Waiver Packet, when needed.
 - g. The sending case management supervisor shall transfer the master file/individual record to the receiving case management supervisor and document the file transfer on the case transfer request form.
 - h. The receiving case management supervisor or designee shall sign the Case Transfer Request form acknowledging receipt of the file and shall give a copy to the sending case management supervisor. The original will remain in the file in the first section.
 - i. The receiving case manager shall update the individual plan or follow along plan within 90 days of the transfer for individuals in non-licensed settings, 30 days for individuals moving to ICF/MR settings, and 45 days for licensed setting.
2. Transfer or Assignment of Resources

The transfer or assignment of resources between the sending and receiving regions shall include the following actions:

- a. When an individual with resources wants to move to a town served by another region, the sending case management supervisor will notify the resource administrator in his or her region. The sending region will identify the individual's resources using the current amount (*ex. hours per week*) of support and the waiver rates and those funds shall be transferred. Both regional Planning and Resource Allocation Teams (PRAT) will track the progress of the move. The sending region's Resource Administrator shall transfer the funds, including day, residential, enhanced family support and rent subsidy, to the receiving region's Resource Administrator. The Resource Administrators from the sending and receiving regions shall establish the date that funds will be transferred and inform the appropriate case management supervisor(s) when the transfer of funds will occur.
 - b. When an individual on the waiting list or planning list moves to a town served by another region and the person currently does not receive DDS services, the individual will be referred to the waiting list or planning document in the receiving region by the receiving case manager. The priority level and the entry date on the waiting list or planning list will be consistent with the date the individual went on the waiting list or planning list in the sending region.
 - c. When an individual on the waiting list wants to move to a town in another region and cannot move without resources assigned, the sending region will maintain the person on the waiting list. Once resources are assigned to the person by the sending region, the individual may move to the receiving region with the assigned resources.
3. Emergency Placements

When an individual who is eligible to receive supports and services needs residential support services on an emergency basis and wants or needs to receive these services in a region other than the one in which he or she currently resides, the following must occur:

- a. The sending regional director must initiate communication with the receiving regional director.

- b. Primary responsibility for placement during the emergency period shall remain with the region where the person currently resides and receives case management services.
- c. After the emergency residential supports are in place, and if the person continues to wish to move, the current case manager shall complete a Case Transfer Request form with subsequent action occurring as outlined above, this includes permanent placements into Long Term Care facilities (LTC).

E. References

1. Regional Responsibility for Service Delivery Policy
2. Eligibility Policy and Procedure
3. Individual Planning Policy and Procedures
4. Master File/Individual Records Procedure

F. Attachments

1. Case Transfer Request Form
2. Transition Planning Checklist
3. Individual Transition Plan