



## TRANSFERRING FILES TO OTHER PROVIDERS

Department: Office of Economic & Workforce Development

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Policy/Procedure #: WDD115-A

Supersedes: July 1, 2008

### Overview

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.

### Means of Forwarding Participant Files

Participant files contain highly confidential information, and it is the provider’s responsibility that the transfer of files is done so in a safe manner. Files may be forwarded to another provider in any of the following ways:

- Utilize OEWD’s data managements system, Workforce Central, to share files. This is the recommended method of file sharing, as documents will not be susceptible to loss and the system provides a safe, confidential means of sharing information. All documents in a participant’s file should be uploaded into Workforce Central, and the receiving provider should be provided with the application number of the participants whose files are being shared to ensure that the receiving provider accesses the correct file.
- Email: While emailing information ensures that hard files will not be lost en route to the receiving provider, this delivery method can be subjected to breached email security, giving hackers access to confidential information and participants potentially could be victims of identity theft. It is not recommended that confidential information be transmitted via email

- 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. If mailing by US Postal Service is the selected method of delivery, it is recommended that the provider sending the documents purchases insurance and signature confirmation.
- 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.

#### INQUIRIES

Inquiries should be addressed to the OEWD Program Operations Director at 415-701-4848 or [workforce.development@sfgov.org](mailto:workforce.development@sfgov.org).

*OEWD and its service providers shall follow this policy. This policy will remain in effect from the date of issue until such time that a revision is required.*