X. CASE RECORD

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X. DEVELOPMENT, MAINTENANCE AND DESTRUCTION OF THE CASE RECORD

RECORD OF SERVICE

In accordance with Federal and State regulations, DCRSA will maintain case record documentation on each applicant or eligible individual, 34 C.F.R. § 361.47.

A record of services will be established for each individual placed in Status 00 or 02 and maintained until the designated time when it may be destroyed. For each record of services, certain DCRSA forms, in addition to correspondence, reports, etc., are required at certain statuses to assure adequate casework during the rehabilitation process.

RECORD OF SERVICE DOCUMENTATION

The primary purpose of documentation is to facilitate the counseling relationship by bringing into focus all the pertinent data about the individual. This enables the counselor to understand the individual, to counsel and help plan future adjustment, to help secure necessary medical, educational, and other rehabilitation services, and to assist in locating suitable employment.

It provides the information needed to establish a professional relationship with the individual. During early contacts with the individual, the documentation should emphasize history, present adjustment and environmental situation, and the objective measures of, or reports on, physical and mental capacities. This provides an informational basis for the counseling relationship and provides substantiation for a planned program of services.

Documentation provides continuity with respect to the information, the evaluations and the services provided in the case. In each interview or individual contact, the written record provides the point of departure from the last contact. Also, when there is personnel turnover or when more than one person participates in the development of the case, the record of services enables each participant to coordinate the work with that of the others.

Documentation contributes to sound thinking by the counselor. It does so in two ways. Since no record – without audio recording that is, -- will reproduce everything said or agreed to, the counselor is forced to be selective in what is recorded. While recording, information must be sifted through -- and items selected -- that have the greatest significance in evaluating the individual's present capacities and adjustment, and in predicting how and in what area future adjustment can be best facilitated. The writing of any diagnostic or evaluation summary calls for sound thinking. In these, the counselor records the individual's experiences, the evaluation placed on tests, examinations, behavior of the individual, and the proposed course of action.

The processing of work in accordance with existing policies and procedures is the counselor's responsibility. Case processing, filing, reporting, and recording must be performed with extreme care. Case documentation includes Agency forms, medical information, case narratives, post-operative reports, training reports, and other pertinent information related to the individual's rehabilitation program.

CASE FOLDER

The individual's file is the official record of service. The case folder will contain all relevant correspondence, reports, forms, financial records and documentation of the individual's rehabilitation program. The case folder will be maintained uniformly throughout the Vocational Rehabilitation Services Division (VRSD).

CASE FOLDER LABEL

A LABEL WILL BE PLACED ON THE FOLDER TAB IN THE FOLLOWING FORMAT WITH THE INFORMATION AS SHOWN:

Social Security Number	CNSLR#
Last name, First name, MI	
Street Address, State and Zip Code	
Area Code &Telephone Number	

CASE FILE SET-UP

All material will be filed chronologically with the most recent date on top within the tab. The tabs will be designated as follows:

(TAB 1) Intake
(TAB 2) Assessment
(TAB 3) Eligibility
(TAB 4) Progress Reports
(TAB 5) Correspondence
(TAB 6) IPE
(TAB 7) Authorizations
(TAB 8) Closure
(TAB 9) Case Reviews

FILING PROCEDURES- INDIVIDUAL RECORD OF SERVICES

RIGHT SIDE OF FOLDER

TAB 1 - INTAKE

- Application for Services (Rights and Responsibility Form)
- Copy of Social Security and/or Identification Card
- Certification of Naturalization and/or Work Permit
- Informed Consent (if under age 18)
- Release of Information Form
- Conflict of Interest Form
- Copy of Voter Registration Form or Declination Form
- Ticket to Work Registration Form
- Substance Abuse Policy Signature Form
- Next Step Form
- Intake Interview Notes

TAB 2 - ASSESSMENT

- Health Check List
- Copies of existing medical or psychological information
- Medical/Psychological Reports
- Medical Consultation Form
- Psychological Consultation Form
- Worksite/Job Site Evaluations
- Copies of School Transcripts
- IEP information
- Copies of Medical Reports and/or Health or Insurance card
- Assistive Technology Reports

TAB 3 – ELIGIBILITY

- VR Eligibility 60 day Waiver (if used)
- VR Certificate of Eligibility
- ILRS Certificate of Eligibility
- Assessment for Determining Priority Category (Scope of Case Study)
- Order of Selection Notification Letter
- Client Financial Participation Form
- Award Letter or verification (if SSI/SSDI recipient) of Food Stamps

TAB 4 – PROGRESS REPORTS

- Training Progress Reports
- Letters from Trainee Forms
- Supported Employment Training forms
- Facility/CRP Training Reports

- Responsibilities of College Students
- Documentation of Job Development and Placement Activities

TAB 5 – CORRESPONDENCE

- Referrals: internal and external
- Copies of Letters, E-mails, Resume's, and Job Applications
- Transition Referral Forms
- Letters to Clients/Client Follow-up Information Form
- Referral Forms and Correspondence
- Referrals from Social Security
- Medical Release Request Forms and Letters
- Copies of Forms mailed to Client
  - a. Due Process Forms
  - b. Title retention forms
  - c. Receipt/Release of Tools and Equipment
  - d. Consumer Satisfaction Surveys
- Internal memos and policy requests
- DCRSA Benefits Planning Referral form
- Ticket Assignment Registration Form 1365
- Small Business referral information
- Other relevant referral forms

The case narrative will be placed on top of TAB 5.

The checklist will be placed on top of the case narrative.

Left Side of Folder

TAB 6 – IPE

- Vocational Appraisal
- Vocational Rehabilitation Service Needs
- Individualized Plan for Employment (IPE)
- IPE Amendments
- Annual reviews completed on the (IPE)

TAB 7 – AUTHORIZATIONS

- Copies of authorizations including tokens and fare-cards
- Copies of all billing statements with attached invoices.
- Facility Statements of Account

TAB 8 – CLOSURE

- Ineligibility Certificate
- Closure Form
- Documentation of Registered Letter to Client prior to closure

TAB 9 - CASE REVIEWS

- Case Reviews
- RSA Reviews
- Periodic Onsite Quality Assurance Team Reviews

Note: Items listed will not be included in every case.

This is not a comprehensive list.

FILING SYSTEM

The individual record of services in each office will be filed in secure confidential area and will be filed alphabetically in the following series:

1) Cases in Referral Status 00
2) Cases in Applicant Status 02
3) Cases in 04
4) Cases in EE Status 06
5) Cases in Accepted Status 10-24
6) Cases Closed Rehabilitated Status 26
7) Cases Closed from Referral Process Status 08
8) Cases Closed Not Rehabilitated AFTER Rehabilitation Program Initiated Status 28
9) Cases Closed Not Rehabilitated BEFORE Rehabilitation Program Initiated Status 30
10) Cases Closed from Services Delayed Status 38
11) Cases in Post-Employment Status 32
12) Cases Closed from Post-Employment Statuses 34, 36, 39

RETENTION AND DESTRUCTION OF RECORDS

Individual's record of services will be destroyed in accordance with Federal and State regulations.

The Office of Information and Referral is responsible for maintaining the record of services for all closed cases (Statues 08, 26, 28, 30, 34, 36, 38, and 39) for a period of three (3) fiscal years. After three years the records are physically transferred to the

Federal Records Center in Suitland, Maryland where the records are maintained for 12 years.

Exception: Cases determined ineligible and subject to annual review from Statuses 08, 28, and 30 are to be maintained for three (3) years following the last annual review.