

**GOVERNMENT OF THE DISTRICT OF COLUMBIA
DEPARTMENT ON DISABILITY SERVICES**



POLICY	
Department on Disability Services	Subject: <i>Case Record Policy</i>
Responsible Program or Office: Rehabilitation Services Administration	Policy Number: 2017-RSA-POL001
Date of Approval by the Director: March 23, 2017	Number of Pages: 5
Effective Date: March 24, 2017	Expiration Date, if Any:
Supersedes Policy Dated: Section X Policy Manual (2010), Case Record	
Cross References, Related Policies and Procedures, and Related Documents: 29 DCMR § 112; DCRSA Informed Choice Policy; DCRSA Release of Information Policy	

1. PURPOSE

~~The purpose of this policy is to provide guidance and clarification on the maintenance of~~ case record documentation for persons served by the D.C. Rehabilitation Services Administration (DCRSA) in order to provide continuity with respect to information, evaluations, and the services provided in the case.

2. APPLICABILITY

This policy applies to Vocational Rehabilitation (VR) Specialists, supervisors, administrators, and people whom DCRSA serves.

3. AUTHORITY

The authority for this policy is established in DDS as set forth in D.C. Law 16-264, the “Department on Disability Services Establishment Act of 2006,” effective March 14, 2007 (D.C. Code §§ 7-761.01 *et seq.*), Establishment of the Rehabilitation Services Program (D.C. Code §§ 32-331 *et seq.*), 29 DCMR §§ 100 *et seq.*, and 34 C.F.R. §§ 361 *et seq.*

4. POLICY

DCRSA shall establish a record of services for each person upon receipt of a signed

application, and maintain these records accurately and securely until the case has remained closed for at least three (3) years.

The VR Specialist shall maintain an accurate and up-to-date case record in order to inform efficient caseload management, and provide substantiation for the planned program of services. Each file shall include completed documentation, and required signatures.

If a person requests that information which he/she considers to be misleading or inaccurate be removed from the case record, documentation of the request and resulting VR Program action shall be placed in the case record. If it is decided that no information is to be removed or amended, then a written rebuttal of the person's request shall be placed in the case record, and provided to the person along with a notice of appeal rights.

Case record documentation shall reflect how and when the VR Specialist provided information and/or resources to support informed choice throughout the VR process.

DCRSA shall safeguard the privacy of all client records and the personal identifying information contained therein. Records shall be stored, accessed, and released in compliance with the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and the DCRSA release of information policy.

Following the closure of an active case, DCRSA shall maintain the case record for a period of three (3) fiscal years in accordance with federal and District regulations (34 C.F.R. § 361.47 and 29 DCMR § 112). Cases determined ineligible and subject to annual review from Statuses 08, 28, and 30 shall be maintained for three (3) years following the last annual review.

5. RESPONSIBILITY

The responsibility for this policy is vested in the Deputy Director of the Rehabilitation Services Administration. Implementation of this policy is the responsibility of the Rehabilitation Services Administration.

6. STANDARDS

A. Electronic Case Record

The person's electronic case record is the official record of service for active cases as of May 24, 2016. For individual cases closed prior to this date, the case folder is the official record of service. The case record shall contain all relevant correspondence, reports, forms, financial records, and documentation of the person's rehabilitation program including eligibility and assessment, identifying the employment outcome and services, authorization of services, progress toward achieving the employment outcome, and eventual closure of the person's case.

B. Case Record Documentation

Timeliness:

Delays in entering information into the case management system can result in incomplete or inaccurate information; therefore, DCRSA staff shall enter a case note within two (2) business days of client contact and scan case documents into the electronic case record within two (2) business days of receipt.

Thoroughness:

Any assessed needs and/or functional limitations that are reported shall be addressed in the case record documentation. If there is no service selected to address the barrier, then the VR Specialist shall document the justification for this within the case record. If a service has been requested and denied, the denial letter and notice of appeal rights shall be documented in the case record.

Content:

For each applicant and eligible person, the case record shall include, where applicable, the following documentation including all required signatures (this is not a comprehensive list and not all items listed will be included in every case):

INTAKE

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- ~~Referral Form~~
 - Application for Services Form
 - Rights and Responsibilities Form / Options for developing the Individual Plan for Employment (IPE)
 - Copy of Social Security and/or Identification Card (or equivalent)
 - Certification of Naturalization and/or Work Permit
 - Informed Consent
 - Release of Information Form
 - Conflict of Interest Form
 - Documentation that voter registration was offered
 - Ticket to Work Registration Form
 - Next Steps Form
 - Intake Interview Notes
 - Work History
 - Education History
 - VR Intake Form
 - Proof of SSI/SSDI
 - Award Letter or verification (if SSI/SSDI recipient) of Food Stamps
 - Health insurance card

ASSESSMENT

- Copies of existing medical or psychological information
- Referral for assessment if no records are available in order to determine eligibility/planning for services (see DCRSA policy, Section III, Eligibility)
- Copies of School Transcripts
- IEP information
- Completed Eligibility Determination Worksheet
- Assistive Technology Report
- Trial Work Justification
- Trial Work Plan
- Eligibility Extension Form
- Eligibility Extension Justification
- Vocational Appraisal

ELIGIBILITY

- VR Eligibility 60 day Waiver (if used)
- VR Certificate of Eligibility
- ILRS Certificate of Eligibility
- Order of Selection Notification Letter
- Comprehensive Assessment
- Client Financial Participation Form
- Award Letter or verification (if SSI/SSDI recipient) of Food Stamps

PROGRESS REPORTS

- Training Progress Reports
- Supported Employment Training forms
- Facility/Community Rehabilitation Program (CRP) Progress Reports, including supported employment, job placement and evidence based
- Grades/Transcripts for Postsecondary Students
- Case notes

CORRESPONDENCE

- Referrals: internal and external
- Letters to Clients/Client Follow-up Information Form
- Medical Release Request Forms and Letters
- Copies of Forms mailed to Client
 - Due Process Forms
 - Title Retention Forms
 - Equipment Loan Agreements
- DCRSA Benefits Planning Referral Form

- Ticket Assignment Registration Form 1365

IPE

- Individualized Plan for Employment (IPE)
- IPE Amendments
- Annual reviews completed on the IPE

AUTHORIZATIONS

- Copies of authorizations of planned services
- Invoices

CLOSURE

- Ineligibility Certificate
- Documentation of written notice sent to client prior to closure
- Successful closure letter
- Proof of employment for at least 90 days



Andrew P. Reese, Director

3/23/17
Approval Date

