

LRS CHAPTER 4, TECHNICAL ASSISTANCE & GUIDANCE MANUAL



Part	Name	Effective Date
403	Case Record Filing	*April 2, 2019*
Authorization *Federal Register, Volume 81, Department of Education, 34 CFR 361, Part VI, State Vocational Rehabilitation Services Program, §361.47.**		

403 CASE RECORD FILING SYSTEM (403.1, 403.2 AND 403.3)

403.1 THE CASE RECORD FOLDER AND ARRANGEMENT OF FILES

I. CASE FOLDERS

A. *All printed/hard copy case record material must be placed in Agency approved folders.**

B. Each folder must be labeled with the name of the consumer and the counselor number.

C. *The following documents must be filed in the hard copy case record.**

1. Any document the consumer signs and any other documents/reports requiring signatures (i.e. Eligibility, Plan, or Closure Reports)
2. Psychosocial Report which is the entire New Case Completion Page in AWARE and includes:
 - a. Personal Information Report
 - b. Application Report - This report includes the three sections below:
 - c. Disability Report
 - d. Special Programs Report
 - e. Application Documentation Report
3. Medical, Psychological, and Assessment Reports and Recommendations
4. ***Written correspondence from the consumer
5. Progress Reports, Grades, Transcripts
6. Invoices/Receipts/Bills from vendors

7. Request for overrides sent through LRS AWARE and responses from LRS AWARE
8. Request for Director's Exception Form returned from State Office with decision

D. The case record is generally organized as follows:

Section I: Case Review Instruments (if applicable)

Example: Case Monitoring Forms

Section II: Information Pertaining to Application/Eligibility

Examples:

1. Psychosocial Report which is the entire New Case Completion Page in AWARE. This page includes the following five sections: Personal Information Report, Application Report, Disability Report, Special Programs Report and Application Documentation Report.
2. General Medical Report(s)
3. Copies of signed Consent to Release Information Forms sent prior to eligibility;
4. Eligibility Determination Report and correspondence regarding eligibility;
5. Motor Voter Registration (RS-6a);
6. Application for VR Services;
7. Any other information the Counselor deems appropriate.

Section III: Information Pertaining to the Comprehensive Assessment

Example: Transcripts of previous grades/course work, copies of Counselor's letters to employers and feedback from employers; vocational evaluation results; job trait profile; additional medical/psychological information

Section IV: Plans

Examples:

1. Individualized Plan for Employment

2. Ticket to Work Information
3. Trial Work Experiences Plan
4. Post-Employment Plan
5. Approved Closure Report
6. RS-14, supporting documentation and Pell Grant or other comparable benefit information.

Section V: Career Counseling/Guidance During Service Delivery

Examples:

1. Progress reports, grades, etc.
2. Miscellaneous correspondence

Section VI: Fiscal

Examples:

1. Draft and Approved Authorizations
2. Payment Authorization (except college payment authorizations).
3. Copies of vendors' invoices and other correspondence from vendors pertaining to purchases for consumers.

II. ARRANGEMENT OF FILES

- A. Case record folders are filed in a filing cabinet in Counselor's office *or, in the event that the counselor or counselor associate is housed in a Career Solution Center, in a locked file cabinet accessible only to LRS staff members working directly with the consumers.**
- B. All closed case records must be removed from the active files after the final fiscal year reports are completed. These closed case records must be stored in alphabetical sequence in a dead file. A separate file is maintained for each fiscal year.

III. CLOSED CASE RECORDS

- A. All closed case records must be kept in safe storage for a minimum of 6 calendar years from time of closure.
- B. When case records are removed from storage, the case records must be destroyed in a manner that continues to protect the confidentiality of the consumer, such as shredding. The Regional Manager is responsible for the implementation of this procedure.

403.2 CASE RECORD CLASSIFICATION

Case record classification is used to identify the current position of the consumer in the vocational rehabilitation program.

I. APPLICATION

- A. This is the entry into the Vocational Rehabilitation Program.
- B. A consumer is considered a participant only after the Counselor completes the Applicant Interview and obtains a signed Application for Vocational Rehabilitation Services.
- C. Case records in this status can be moved to Application - E (60 Day Extension), Application – T, (Trial Work), ***Delayed, Eligible or Closed - Other than Rehabilitated.

II. DELAYED - ELIGIBLE, PLACED IN ORDER OF SELECTION GROUP(S) NOT CURRENTLY SERVED

(Refer to Part 406 Order of Selection.)

- A. Counselor must place any consumer's case record in Delayed status if the following apply:
 - 1. The individual is determined eligible, non-significantly disabled; and
 - 2. The individual is placed in any Order of Selection Group that is not currently open.
- B. The case remains in Delayed status until any of the following occur:
 - 1. The Agency opens services to the particular Selection Group(s); or
 - 2. The consumer's disability deteriorates and the Selection Group is re-determined; or
 - 3. The case is closed.

III. APPLICATION – T (TRIAL WORK)

Consumer is placed under a Trial Work Plan to assist in determining eligibility for services when the issue concerns the severity of the individual's disability and potential for employment outcome.

IV. CLOSED AFTER APPLICATION OR TRIAL WORK ***

Case records of consumers who are not accepted for services will be closed.

V. ELIGIBLE

The case record is moved to the Eligible status after eligibility for vocational rehabilitation services is established.

***VI. ELIGIBLE – E**

The case is placed in Eligible – E status when the plan/IPE will not be completed within the 90 day time period allowed. The counselor must obtain approval from the consumer to extend the 90 day time period.**

VII. SERVICE

- A. A case is placed in Service status after the Individualized Plan for Employment is written, developed, and approved.
- B. Examples of services provided in this status include Counseling, Guidance, Job Placement, Restoration & Rehabilitation Technology, and Training.

VIII. SERVICE – J (JOB READY)

A case record is placed in Service – J when a consumer has been adequately prepared for employment, is ready to accept a job, and the consumer and the Counselor are making efforts to achieve satisfactory job placement.

IX. EMPLOYED

A case record is placed in the Employed status when a consumer begins employment.

X. CLOSED - REHABILITATED

A case record is placed in the Closed –Rehabilitated status when a consumer, as a minimum:

- A. Has been determined to be eligible.
- B. Has been provided evaluation of rehabilitation potential, counseling, and guidance, and appropriate vocational rehabilitation services.
- C. Has participated in the development of an Individualized Plan for employment.

- D. Has been provided vocational rehabilitation services directly related to the employment outcome.
- E. *Has maintained suitable competitive integrated employment for not less than 90 days.**

XI. CLOSED – OTHER

- A. Any case closed “Not Rehabilitated” is placed in Closed – Other status.
- B. Examples of cases closed in Closed-Other include Ineligible, Closed from Delayed status, Moved out of State, Unable to Locate, Death, etc.
 - 1. Consumer Requests Closure - If a consumer requests closure, the Counselor can close the case immediately and send a confirmation letter verifying that the case has been closed per the Consumer’s request.
 - 2. Death - A closure letter is not required if the case is being closed due to the death of the consumer.

XII. CLOSED - PES (POST-EMPLOYMENT SERVICES)

After Post-Employment services are provided, a case record is closed in Closed – PES.