

## IX. CASELOAD MANAGEMENT

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## **IX. CASELOAD MANAGEMENT**

### **CASELOAD MANAGEMENT**

Thereafter, the counselor is accountable for the case management system each time there is a status change.

### **CASE STATUS CLASSIFICATIONS**

Referral Status

00 Referral

Application Status

02 Applicant

Trial Work Experience/Extended Evaluation Status

06 Evaluation Status

Closures from Referral (00)/Applicant (02)

08 Closed before, during, or after Evaluation

Closures from Trial Work Experience or Extended Evaluation (06)

08 Closed after Evaluation

### **ACTIVE STATUSES**

Pre-Service Statuses

04 Service Delayed/Order of Selection

10 Certificate of Eligibility/Ineligibility Completed

12 IPE Completed

Service Statuses

18 Receiving Service Status

    Counseling and Guidance

    Physical Restoration

    Training, etc.

20 Ready for Employment

22 In Employment

24 Service Interrupted

Closures from Active Status

26 Closed Rehabilitated (After 90 days in Status 22)

28 Closed Not Rehabilitated AFTER IPE initiated (Status 18 through 24)

30 Closed Not Rehabilitated BEFORE IPE initiated (Status 10 through 12)

32 Post-Employment

38 Closed from Service Delayed /Order of Selection (closed from 04)

### **Closures from Post-Employment Services**

34 Employment Maintained

36 Placed back in 02  
39 Other

RSA designed the VR Caseload Status System to aid the tracking of individuals as they progress through the service system. Because RSA uses a closed-case reporting system, only those status codes specifying the point in the VR process where the counselor closed an individual's case would apply (closure codes 08, 26, 28, 30 and 38).

## **STATUS 00 – REFERRAL**

Status 00 represents an individual who has been referred to VR with minimum information provided to the counselor. The individual has not made a request for services, but the counselor must place the individual in Status 00 if sufficient demographic information is available. Sufficient demographic information is name, SSN, address, and referral source.

## **STATUS 02 – APPLICANT**

Status 02 represents an individual's entrance into the VR process. When an individual signs a document requesting VR services, the counselor must place the individual into Status 02. At that point, the individual is considered an applicant after completing an Agency application form. However, the counselor may place an individual into Status 02 if the individual requests services with a signed letter and minimum basic referral information.

The counselor must place every case in Status 02 before authorizing diagnostic service(s). While the individual is in Status 02, the counselor investigates and secures sufficient information to determine eligibility for VR services or a decision to use Trial Work Experience or Extended Evaluation services. An individual can only remain in **Status 02 for 60 days unless the counselor and applicant agree to a specific extension of time. If needed, under the Heading of 60-Day Extension in the case note record the dates of the Extension and the specific reasons for the need for an extension of time to determine eligibility .**

## **STATUS 04 – SERVICE DELAYED/ORDER OF SELECTION**

If under, the Order of Selection the counselor moves an applicant into Status 04 when the Preliminary Assessment justifies writing a Certificate of Eligibility/Ineligibility. However, the individual cannot receive services because the individual does not meet the Order of Selection priorities. Status 04 identifies the individuals who are on a waiting list for services until such time as the Agency has sufficient funds available to provide services. Placement of the individual's name on the waiting list for services indicates there will be a delay in the initiation of services for which the individual is otherwise entitled to receive. An individual leaving this status will be moved to Status 12 to signify that services will be provided without further delay or will be closed status 38 at end of fiscal year.

## **STATUS 06 – TRIAL WORK EXPERIENCE/EXTENDED EVALUATION**

When the individual's eligibility for VR services cannot be readily certified, the counselor moves the individual into Status 06. The counselor may provide services to the individual to determine there is clear and convincing evidence that the individual can benefit from the provision of vocational rehabilitation services in terms of an employment outcome or there is clear and convincing evidence that the individual is incapable of benefiting from vocational rehabilitation services due to the severity of disability.

The case management system will only allow 18 months in Status 06.

## **STATUS 08 – CLOSED FROM EVALUATION**

Status 08 identifies all individuals not accepted for VR services whether closed from referral Status (00) applicant Status (02) or Trial Work Experience or Extended Evaluation Status (06).

## **STATUS 10 – CERTIFICATION OF ELIGIBILITY/INELIGIBILITY**

The counselor moves an applicant into Status 10 when the Preliminary Assessment justifies writing a Certificate of Eligibility/Ineligibility.

## **STATUS 12 – INDIVIDUALIZED PLAN FOR EMPLOYMENT**

After the counselor completes the comprehensive assessment and the counselor and individual or representative agree on an IPE, the individual is moved into Status 12.

## **STATUS 18–RECEIVING SERVICE STATUS**

Status 18 is used when the individual begins receiving services.

## **COUNSELING AND GUIDANCE**

The counselor moves an individual in status 18 after completing an IPE, which outlines counseling and guidance services are necessary to prepare the individual for employment.

The service is necessary to prepare the individual for employment, or a breakdown has occurred in the progress of the case after other services have been initiated and the counselor has determined that substantial counseling and guidance are essential to successful rehabilitation.

## **PHYSICAL AND/OR MENTAL RESTORATION**

The counselor moves an individual into Status 18 when the individual receives physical and/or mental restoration services as the primary service. Restoration services include medical, surgical, psychiatric, or therapeutic treatment, the fitting of prosthetic appliances, hospitalization, convalescent care or nursing services.

## **TRAINING**

The counselor moves an individual into Status 18 when training services are needed to prepare an eligible individual for work. These services are individualized and are jointly developed by the individual and counselor through the process of informed choice.

Vocational training includes the following broad categories:

- 1) On-the-job Training
- 2) Short-term Specialized Training
- 3) Vocational/Technical
- 4) Community College
- 5) College/University

## **STATUS 20 – READY FOR EMPLOYMENT**

Status 20 is used when VR services have prepared the individual for gainful employment and the individual is ready to begin placement activities or the individual has been placed but has not yet begun employment.

## **STATUS 22 – EMPLOYED**

Status 22 is used when the individual begins employment. To ensure adequacy of employment in accordance with the individual's unique strengths, resources, priorities, concerns, abilities, capabilities, interest, and informed choice, the individual must remain employed in Status 22 for a minimum of 90 days before the counselor can close the individual's case as achieving an employment outcome. (Status 26)

## **STATUS 24 – SERVICES INTERRUPTED**

Status 24 is used when VR services are interrupted while in Status 18, 20, or 22. The individual will remain in Status 24 until the individual is able to return to one of the above-mentioned statuses or the individual's case is closed in Status 28.

## **STATUS 26 – CLOSED REHABILITATED**

Status 26 is used when the individual has achieved a suitable employment outcome described in the individual's IPE and has been maintained for a minimum of 90 days in Status 22. An individual will not be closed in Status 26 more than once in any Federal fiscal year.

## **STATUS 28 – CLOSED NOT REHABILITATED AFTER IPE INITIATED**

Status 28 is used to close an individual's case from Statuses 18 through 24 when it has been determined the individual does not meet the criteria for Status 26 closure.

## **STATUS 30 – CLOSED NOT REHABILITATED BEFORE IPE INITIATED**

Status 30 is used to close a case from either Status 10 or 12.

## **STATUS 32 – POST-EMPLOYMENT SERVICE**

Status 32 is used when the need for post-employment services has been identified and planned to maintain the individual in employment. The purpose of this status is to avoid the necessity of reopening a case in order to provide a relatively minor service.

Post-employment services are expected to be of a one-time nature and not provided in excess of 18 months. Cases in Status 32 cannot be transferred.

## **STATUS 34 – CLOSED FROM POST-EMPLOYMENT**

Status 34 is used to close an individual's case when the individual maintains employment through the completion of planned services provided in Status 32.

## **STATUS 36 – CLOSED FROM POST-EMPLOYMENT TO BE REOPENED**

Status 36 is used to close an individual's case from post-employment when the counselor determines the need to reopen the individual's case to provide necessary VR services. The case will be reopened in Status 02.

## **STATUS 38 –CLOSED FROM SERVICE DELAYED/ORDER OF SELECTION**

Status 38 is used to identify individuals eligible for VR who will not advance to the Statuses (12 to 24) and whose names are being removed from the Service Delayed/Order of Selection list (Status 04).

## **STATUS 39 – CLOSED FROM POST-EMPLOYMENT/OTHER REASONS**

Status 39 is used to close an individual for any other reason for termination from post-employment services.

## **TRANSFER OF CASES – Cases Transferred will retain their status and the date of the transfer.**

### **CASES TRANSFERRED OUT**

### **PROCEDURES – CASES TRANSFERRED OUT**

- A transfer will be made when an individual on a counselor's caseload either permanently moves or request another counselor's within or out of that counselor's district.
- The client should contact the current counselor to initiate the case transfer.

- The transferring counselor prior to the transfer will discuss the case with the receiving counselor as well as notifying the District Managers; to ensure that case information is current and prepared for transfer. Both counselors, District Managers and client should be in agreement before the case is transferred.
- Discuss the transfer with the client, providing in writing the receiving counselor's name, field office's address and phone number.
- Status 22 cases will be transferred ONLY if the counselor believes this would be in the individual's best interest.
- Transfers will not be made during the same month the case is accepted and/or the IPE is completed and/or services are initiated.
- Contact the appropriate case management administrator to transfer ECF in the case management system.
- Document in case note under "TRANSFER OUT", a case summary for transfer.

## **CASES TRANSFERRED IN**

### **PROCEDURES– CASES TRANSFERRED IN**

- After the case has been transferred in the case management system, the receiving counselor will meet with the individual.
- Document in the case note, under "TRANSFER IN", a case summary for transfer.

## **CASES TRANSFERRED IN FROM OTHER STATE REHABILITATION AGENCIES**

Cases cannot be transferred from other State Rehabilitation Agencies. Individuals moving from another state and requesting services from ARS will be treated the same as a new referral.

## **OPENING CLOSED CASES**

If an individual, whose case has been closed, requests services the counselor will follow the same procedures for new applicants (02).

Counselors **cannot** reopen cases for 30 days after closure.

**Exception:** When necessary to reopen a case before the 30 days from the closure date the counselor will submit a memorandum to the Chief of Field Services through the District Manager requesting the closure to be voided. The Chief of Field Services will notify the counselor through the District Manager that the closure has been voided so the necessary services can be provided.

## **ANNUAL REVIEW OF CLOSED CASES – INELIGIBLE**

Refer to Closure VIII.