

**X. CASE RECORD DEVELOPMENT, MAINTENANCE AND
DESTRUCTION**

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X. CASE RECORD DEVELOPMENT, MAINTENANCE AND DESTRUCTION

RECORD OF SERVICE (ECF)

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

A record of services (ECF) 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 ARS forms, in addition to correspondence, reports, etc., are required at certain statuses to assure adequate casework during the rehabilitation process.

RECORD OF SERVICE (ECF) 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 planned programs of services.

Document information that is clear and objective. Limit documentation to vocational information that is significant and pertinent to the individual's vocational rehabilitation needs. Also document information that leads to a plan of action, this includes but not limited to evaluation summaries, work history, medical/behavior assessments and other relevant resources.

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.

ELECTRONIC CASE FILE (ECF)

The individual's file is the official record of service. The ECF will contain all relevant correspondence, reports, forms, financial records and documentation of the individual's rehabilitation program. The ECF will be maintained uniformly across the State.

The case management system will file chronologically by the most recent date:

Intake
Assessment
Eligibility
IPE
Progress Report
Authorizations
Correspondence
Closure
Case Reviews

ECF PROCEDURES – INDIVIDUAL RECORD OF SERVICES

INTAKE

- SS Card
- Driver's License/ID
- Application for Services
- Informed Consent (if under age 18)
- Release of Information Form
- Conflict of Interest Form
- Copy of Voter Registration Form or Declination Form
- Substance Abuse Policy Signature Form

ASSESSMENT

- Copies of existing medical or psychological information
- Medical Records/Reports (ARS/ACTI)
- RIDAC referral form
- RIDAC/ARS/ACTI medical and psychological reports
- RIDAC Medical consultation form
- RIDAC Psychological consultation form
- Local Medical Consultant Form
- Memo from ACTI Staff Physician
- Neuropsychological Reports
- Consultations
- 60 day assessment
- Copies of school transcripts
- IEP information
- Copies of medical reports
- Assistive Technology Reports
- Recommendations for Special Accommodations or Equipment

ELIGIBILITY

- VR Certificate of Eligibility/Ineligibility
- ILRS Certificate of Eligibility/Ineligibility
- Assessment for Determining Priority Category (Scope of Case Study)
- Order of Selection Notification Letter, if applicable
- Income Verification
- Financial Resource Form
- Award Letter or verification (if SSI/SSDI recipient)

IPE

- Individualized Plan for Employment IPE
- Individualized Written Client Plan (ACTI)
- Amendments
- Annual reviews completed
- Exception to Service Provision Policy

AUTHORIZATIONS

- Authorizations (ARS/ACTI)
- Attached billing statements/invoices
- CRP Statements of Account and CPD Verification Payment Forms

CORRESPONDENCE

- Referrals, internal and external
- ACTI, CRP, SE, Employment Services/Job Placement, and Job Services-VR only referral forms
- Copies of letters, e-mails
- Transition referral forms
- Letters to clients/Client Follow-up Information Form
- Referrals from Social Security
- Medical Release request forms and letters
- Copies of forms mailed to client
 - a. Due Process Forms
 - b. Receipt/Release of Tools and Equipment
 - c. Consumer Satisfaction Surveys
- Internal memos and policy requests
- Small Business referral information
- Employment Services/Job Placement referral forms

PROGRESS REPORTS

- ACTI vocational training monthly report forms
- Training progress reports
- Letters from Trainee forms
- Counseling reports
- PT, OT, ST Reports (ARS/ACTI)
- Social Services Reports
- Supported Employment monthly progress reports forms
- Employment Services/Job Placement closure forms
- CRP monthly progress reports for Work Adjustment and Extended Services
- Responsibilities of College Students
- Documentation of Job Development and Placement Activities
- Job Services-VR Only monthly progress reports forms

CLOSURE

- Certificate of Eligibility/Ineligibility
- VR Case and Closure/Amendment Information Form
- Documentation of Registered Letter to Client prior to closure

CASE REVIEW

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

*** Items listed under Case Review may not be included in every case. This is not a comprehensive list.

DESTRUCTION OF RECORDS

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

The District Manager or his/her designee must witness or be responsible for the destruction of the record of services (ECF). All closed cases (Statuses 08, 26, 28, 30, 34, 36, 38 and 39) are to be maintained currently for five (5) fiscal years.

NOTE: Status 00 cases that have reached the 180 days maximum and have been closed or dropped from the case management system may be destroyed.