

ARIZONA DEPARTMENT OF ECONOMIC SECURITY

Program Name: Vocational Rehabilitation (VR)

Policy Number: VR-2.4-v6

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CHAPTER 2: Client Information and Case Requirements

Section 2.4: Case Record Requirements

I. Policy Statement

This policy provides the guidelines regarding case record requirements. VR uses the electronic case management system titled "Libera" to facilitate the provision of VR services and ensure accurate Federal and State reporting. An Electronic Case File (ECF) or Case Record is used for the collection and entry of data for applicants/clients.

II. Authority

Authority for policies contained in this document includes the following:

- Workforce Innovation and Opportunity Act (WIOA), 29 U.S.C. § 3101 et seq.
- Title IV Amendments to the Rehabilitation Act of 1973, 29 U.S.C. § 701 et seq.
- State Vocational Rehabilitation Services Program, 34 C.F.R. § Record of services 361.47
- A.R.S. §§ 23-502 and 503
- RSA Policy Directive, RSA-PD-19-03, Completion of Case Service Report (RSA-911) for the State Vocational Rehabilitation Services Program and the State Supported Employment Services Program

III. Applicability

This applies to all applicants/clients. The applicant/client must provide the following documentation to VR:

- A. Medical records,
- B. Social Security Benefits Verification (if applicable),
- C. Proof of legal guardianship or court-appointed representative (if applicable),
- D. Proof of authorization to work in the United States, and
- E. Information relating to the applicant/client's disability, functional limitations, educational history, and financial status.

- F. Complete, sign and email the Secure Email Waiver form, in the event encrypted email methods are unavailable.

IV. Standards

- A. All case notes relating to an applicant/client's interactions, communications, and appointments must be entered into the ECF within two (2) business days of the event.
- B. All documents related to the applicant/client must be scanned into the ECF within three (3) business days of receipt, unless otherwise precluded.
- C. All documents provided by or signed by the applicant must be scanned into the ECF within three (3) business days of the intake interview.
- D. In circumstances when an applicant or client prefers a different name or pronoun other than listed on all legal documents, VR staff must input the information exactly as listed on the legal documents within two (2) business days of receipt to ensure accurate Federal and State reporting.
- E. When there are changes to the applicant's/client's name, social security number or any other demographic information, documentation of the change(s) must be provided to VR and scanned into the ECF within two (2) business days of receipt.
- F. Hard copies after being scanned into the ECF must be destroyed.
- G. Any documents or case notes must not be deleted from an ECF unless a document or case note is placed into the wrong case file.
- H. The Program Supervisor, or higher-level management must provide written approval for deleting documents or case notes that were placed in the wrong case file.
- I. The Libera Systems Administrator or designee is authorized to delete a document or case note from the ECF.
- J. The following items must be included and available in the applicant/client's ECF as applicable:
 - 1. Documents signed by applicants/clients or their representative, and/or VR staff,
 - 2. Documentation and correspondence concerning the provision of VR services,
 - 3. Documents purchased or provided by VR,
 - 4. Documents that establish employment eligibility and identity must be consistent with forms required by the Department of Homeland Security, United States Citizenship and Immigration Services (USCIS), a complete list of required documents is available at <https://www.uscis.gov/i-9>,

5. Proof of legal guardianship,
 6. Narrative supporting eligibility or ineligibility criteria decision,
 7. Decision and narrative supporting the Order of Selection (OOS) Priority Category,
 8. Documentation regarding the applicability of economic need criteria,
 9. Documentation related to the exploration and use of comparable benefits,
 10. Trial Work Plan including documentation that supports the need for trial work experience and methods for measuring progress,
 11. The Individualized Plan for Employment (IPE) and all amendment/revision documents,
 12. Documentation that describes the extent to which the applicant/client exercised informed choice in selecting: the employment outcome, VR services needed to obtain the employment outcome, service providers, service setting, method to procure services, and employment setting,
 13. Documentation of the source of Extended Services,
 14. Verification that the client's employment compensation is at or above minimum wage,
 15. Supporting documentation verifying that the client's wages and benefits are commensurate to wages and benefits paid by the employer for the same or similar work performed by non-disabled individuals,
 16. Documentation of any action or decision resulting from a request for appeal, and
 17. Documentation of information and referral services provided to, or on behalf of an applicant/client.
- K. The VR Counselor must complete the following as applicable as per case status:
1. Eligibility and OOS Narrative Template,
 2. Intake Interview Narrative
 3. IPE Justification Narrative Template,
 4. IPE Amendment Justification Template,
 5. Closure Justification Template, and
 6. Policy Exception Justification Template if applicable.
- L. In circumstances when a case record needs to be transferred to another VR Counselor or VR office, refer to Standard Work -Transferring a Case File for documentation requirements.

V. Procedure

- A. In instances when a record needs to be deleted, VR Program Supervisor must provide the Libera Administrator with the following information:
 - 1. A detailed description of the document or case note that needs to be deleted,
 - 2. The case file from which the document or case note needs to be deleted,
 - 3. The case file that the document or case note was intended for and needs to be placed into,
 - 4. The name of the supervisor approving the deletion.
- B. The Libera Administrator must keep the following information upon the record deletion:
 - 1. The date the action was taken,
 - 2. The name of the individual performing the deletion,
 - 3. The name of the Libera Systems Administrator approving deletion, and
 - 4. A detailed description of the document or case note that was deleted.
- C. For case record transfers, refer to Standard Work-Transferring a Case File.

VI. Documentation Requirements

The applicant/client’s electronic case file must include documentation listed in Section IV. H. and I. of this policy.