

## **ARIZONA DEPARTMENT OF ECONOMIC SECURITY**

**Program Name:** Vocational Rehabilitation (VR)

**Policy Number:** VR-2.4-v7

**Effective Date:** July 1, 2008

**Last Revision:** October 25, 2024

**CHAPTER 2:** Client Information and Case Requirements

**Section 2.4:** Case Record Requirements

### **I. Policy Statement**

This policy provides guidelines regarding Vocational Rehabilitation (VR) case record requirements.

### **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. § 361.47, Record of services.
- Arizona Revised Statutes:
  - § 23-502, and
  - § 23-503.
- 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 policy applies to all applicants/clients.

### **IV. Standards**

#### **A. General Provisions**

1. VR must maintain a record of services for each applicant/client who participates in the VR program.
2. VR uses an electronic case management system to facilitate the provision of VR services and ensure accurate federal and State reporting. The

Electronic Case File (ECF) within the case management system is used to collect and enter applicant/client data.

**B. Data Entry Requirements**

1. All case notes relating to an applicant's/client's interactions, communications, and appointments must be entered into the ECF within two (2) business days of the event.
2. All applicant/client-related documentation, including documents provided by or signed by the applicant/client, must be scanned into the ECF within three (3) business days of receipt of the document or a VR appointment unless otherwise precluded.
3. VR must enter the applicant's/client's legal name to ensure accurate federal and State reporting. 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.
4. VR must destroy paper/hard copies after the document is scanned into the ECF.

**C. Required Documentation**

1. The applicant/client must provide the following documentation to VR:
  - a. Social Security Benefits Verification (if applicable),
  - b. Proof of court-appointed legal guardianship(if applicable),
  - c. Proof of authorization to work in the United States, and
  - d. A complete and signed Secure Email Waiver form, when an applicant/client requests VR to send their information through unsecured/unencrypted email.
2. The following items must be included and available in the applicant's/client's ECF, as applicable:
  - a. Documents signed by applicants/clients or legal guardians, and/or VR staff,
  - b. Documentation by qualified personnel that the applicant has a physical or mental impairment,
  - c. Documentation and correspondence concerning the provision of VR services,
  - d. Documents recording services or goods purchased or provided by VR,
  - e. Documents that establish employment eligibility and identity must be consistent with forms required by the U.S. Department of Homeland

Security, U. S. Citizenship and Immigration Services (USCIS). A complete list of required documents is available at <https://www.uscis.gov/i-9>,

- f. Proof of legal guardianship,
  - g. Narrative supporting an eligibility or ineligibility criteria decision,
  - h. Decision and narrative supporting the Order of Selection (OOS) Priority Category,
  - i. Documentation regarding the applicability of economic need criteria,
  - j. Documentation related to the exploration and use of comparable benefits,
  - k. A Trial Work Plan, including documentation that supports the need for trial work experience and methods for measuring progress (if applicable),
  - l. The Individualized Plan for Employment (IPE) and all amendment/revision documents,
  - m. 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,
  - n. Documentation of the source of Extended Services,
  - o. Verification that the client's employment compensation is at or above minimum wage,
  - p. Supporting documentation verifying that the client's wages and benefits are equivalent to wages and benefits paid by the employer for the same or similar work performed by non-disabled individuals,
  - q. Documentation of any action or decision resulting from a request for appeal, and
  - r. Documentation of information and referral services provided to, or on behalf of, an applicant/client.
3. The VR Counselor must complete the following, as applicable, per an applicant's/client's progress in the VR process:
- a. Intake Interview Narrative Template
  - b. Eligibility and OOS Narrative Template,
  - c. IPE Justification Narrative Template,
  - d. IPE Amendment Justification Template,

- e. Closure Justification Template, and
- f. Policy Exception Justification Template if applicable.

**D. Deleting Documentation from the Electronic Case File**

1. Documents and case notes must not be deleted from an ECF unless the document or case note was placed into the wrong ECF.
2. The Program Supervisor or higher-level management must provide written approval for deleting documents or case notes that were placed in the wrong ECF.
3. The case management systems administrator or designee is authorized to delete a document or case note from the ECF with approval from the Program Supervisor.

**E. Case Transfers:** When a case record requires a transfer to another VR Counselor or VR office, the VR Counselor must refer to Standard Work - Transferring a Case File for documentation requirements.

**V. Procedure**

**A.** In instances when a record requires deletion, the VR Program Supervisor must provide the case management system's 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 in which it must be placed, and
4. The name of the supervisor approving the deletion.

**B.** The case management system's administrator must keep the following information upon deletion of the record:

1. The date the action was taken,
2. The name of the individual performing the deletion,
3. The name of the case management system's administrator approving deletion, and
4. A detailed description of the document or case note that was deleted.

**C.** For case transfers, refer to Standard Work - Transferring a Case File.

**VI. Documentation Requirements**

- A. The applicant's/client's ECF must include documentation listed in Section IV. C of this policy.